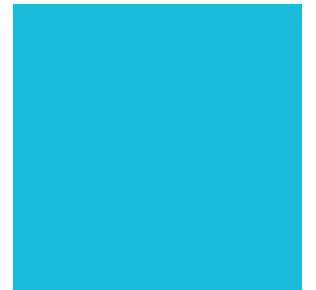
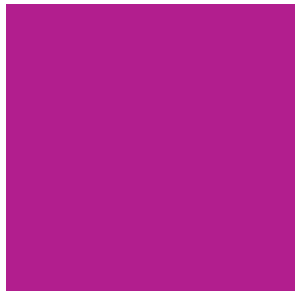
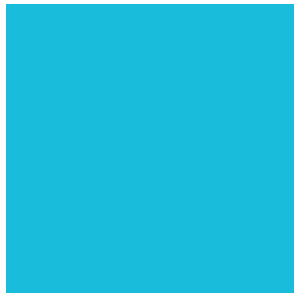


Volume I - Technical Proposal

Healthy and Well Kids in Iowa (*hawk-i*) Program

RFP-FHWS-08-17

Redacted



Confidential. Many individual pages within this proposal are exempt from disclosure to the public due to the trade secrets and proprietary and confidential information pursuant to Iowa Code § 22.7 (3) and Iowa Code Chapter 22.7 (6). The pages containing exempt information have been marked with a footer at the bottom of the page indicating disclosure or use of the page or information on the page is not permitted without prior written consent of Noridian Administrative Services, LLC.


NORIDIAN[®]
Administrative Services LLC

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Jay Martinson

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February 6, 2008

Mr. Jon Neiderbach, Issuing Officer
Iowa Department of Human Services
Division of Financial, Health and Work Supports
1305 E. Walnut, 5th Floor
Des Moines, Iowa 50319-0114

RE: Transmittal Letter – Administrative Services for the Healthy and Well Kids in Iowa (*hawk-i*)
Program, RFP # FHWS-08-17

Dear Mr. Neiderbach:

Noridian Administrative Services, LLC (Noridian) is submitting a bid in response to the Request for Proposal for Administrative Services for the *hawk-i* Program, RFP # FHWS-08-17. This letter transmits the Technical and Cost Proposals, inventories our receipt of responses to questions and amendments, and requests confidential treatment of certain proposal information.

In the chart below, we inventory each Department-issued amendment and response to questions received from the State of Iowa Bid Opportunities Web site at <http://bidopportunities.iowa.gov>.

Release Date	Amendment Number	Description
January 18, 2008	Amendment One	Received amendment one, a revised Cost Proposal spreadsheet, and responses to vendor questions.
February 5, 2008	Amendment Two	Received amendment two, adding a new requirement to Section 3I (Reports).

As allowed by the RFP, we request confidential treatment of information in this proposal. Noridian has included its Statement of Confidentiality on page two of this letter. Noridian VP General Counsel Greg Gullickson, whose contact information follows, is authorized to respond to the Department about the confidential nature of the information.

Greg Gullickson, Noridian VP General Counsel
Noridian Administrative Services, LLC
901 40th Street South Suite 1
Fargo, ND 58103
Phone Number: (701) 282-1375
E-mail Address: Greg.Gullickson@noridian.com

Sincerely,

A handwritten signature in black ink that reads "Jay Martinson".

Jay Martinson

Executive Vice President and Chief Operating Officer

Statement of Confidentiality

Noridian Administrative Services, LLC (Noridian) makes this Statement of Confidentiality pursuant to Section 2.20 (Public Records and Request for Confidential Treatment) of the Iowa Department of Human Services Request for Proposal.

This Statement of Confidentiality is a part of, and refers to, all chapters of this proposal submitted by Noridian to the Iowa Department of Human Services in response to its Request for Proposal, RFP # FHWS-08-17. Many individual pages within this proposal contain confidential information or documents that are exempt from public disclosure under Iowa law pursuant to Iowa Code § 22.7 (3) and Iowa Code Chapter 22.7 (6). The pages containing confidential information in this proposal are exempt from disclosure to the public due to the trade secrets and proprietary and confidential information contained within. This exempt, confidential information has significant independent economic value, both actual and potential, from not being generally known and not being readily ascertainable by proper means by other persons who could obtain economic value from its disclosure or use. Furthermore, the exempt information has been and continues to be the subject of efforts that are reasonable under the circumstances to maintain the secrecy of the exempt, confidential information. Confidential information in this proposal, if released, would give advantage to competitors and serve no public purpose. Only those pages containing exempt information are claimed as exempt from public disclosure. A redacted copy of this proposal has been submitted to the Iowa Department of Human Services along with the full proposal. The following notice is included in the footer of the proposal pages that contain exempt information.

“Proprietary and Confidential. This page contains information that is proprietary, confidential, and/or a trade secret exempt from disclosure to the public under State law. Disclosure or use of this page or information in this page is not permitted without prior written consent of Noridian Administrative Services, LLC.”



Mandatory Requirements Checklist

■ Requirement 4.2.2 – Mandatory Requirements Checklist. The bidder shall submit with the bid proposal the document included as Attachment 6 on which the bidder will check each mandatory requirement it has met. The Department will make the final determination, however, whether the bid proposal meets the mandatory requirements. ■

Noridian Administrative Services, LLC (Noridian) submits its Mandatory Requirements Checklist below.

Mandatory Requirements Checklist

Check if requirement is met.

Bidder	DHS	Mandatory Requirements
X		1. Bid proposal acknowledges receipt of the Department's responses to questions, requests for clarification, and suggested changes (RFP Section 2.5).
X		2. Bid proposal received on time and at correct location (RFP Section 2.9).
X		3. Bid proposal format meets RFP preparation requirements (RFP Section 4.1).
X		4. Transmittal Letter with all required content/information (RFP Section 4.2.1).
X		5. Mandatory Requirement Checklist (RFP Section 4.2.2)
X		6. Table of Contents (RFP Section 4.2.3).
X		7. Executive Summary (RFP Section 4.2.4)
X		8. Background information with all required content/information (RFP Section 4.2.5).
X		9. Bid proposal is fully responsive and able to meet the service requirements (RFP Section 4.2.6).
X		10. Experience information with all required content/information (RFP Section 4.2.7).
X		11. Personnel information with all required content/information (RFP Section 4.2.8).
X		12. Financial information with all required content/information (RFP Section 4.2.9).
X		13. Termination, litigation and investigation information (RFP Section 4.2.10).
X		14. Acceptance of terms and conditions stipulation (RFP Section 4.2.11).
X		15. Proposal certification (RFP Section 4.2.12).
X		16. Certification of Independence and No Conflict of Interest (RFP Section 4.2.13)
X		17. Certification regarding debarment (RFP Section 4.2.14).
X		18. Certification regarding State sales and use tax (RFP Section 4.2.15)
X		19. Authorization to release information (RFP Section 4.2.16).
X		20. Guarantee of firm bid proposal terms for requested duration (RFP Section 4.2.17).
X		21. Bid proposal security (RFP Section 4.2.18).
X		22. Cost proposal with all required content/information (RFP Section 4.3).

**Mandatory
Requirements
Checklist**

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■ Requirement 4.2.3 – Table of Contents. The bidder shall include a table of contents of its bid proposal. ■

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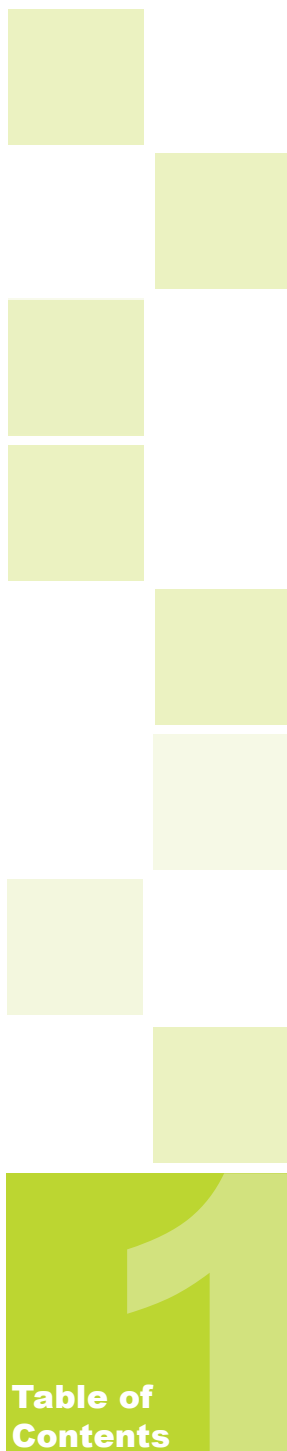
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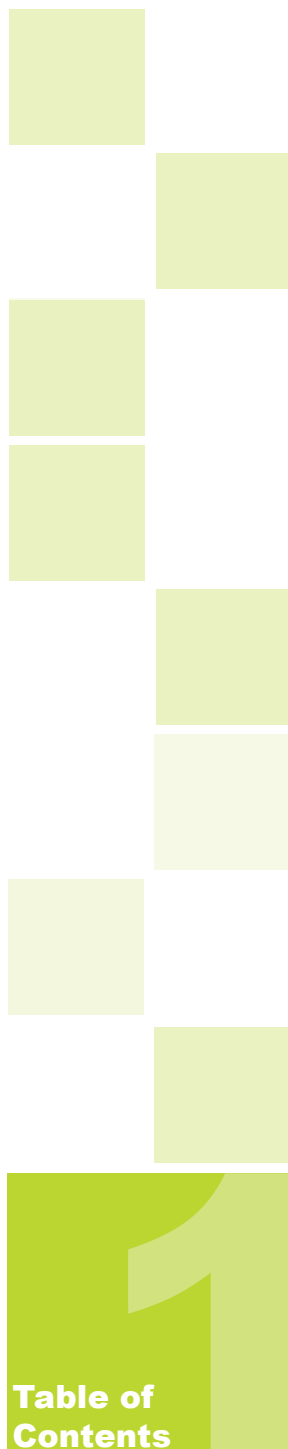
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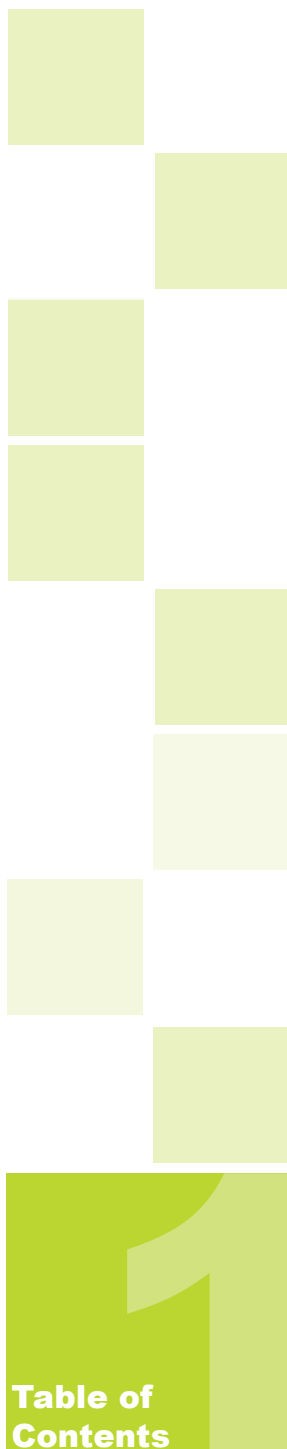


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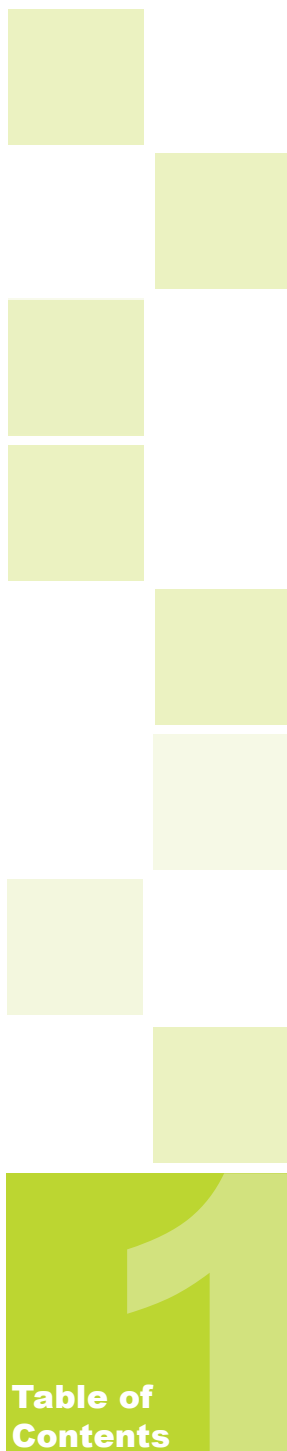


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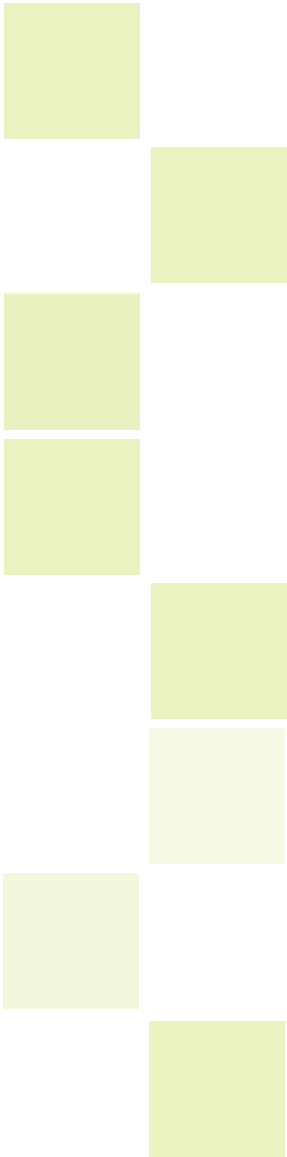
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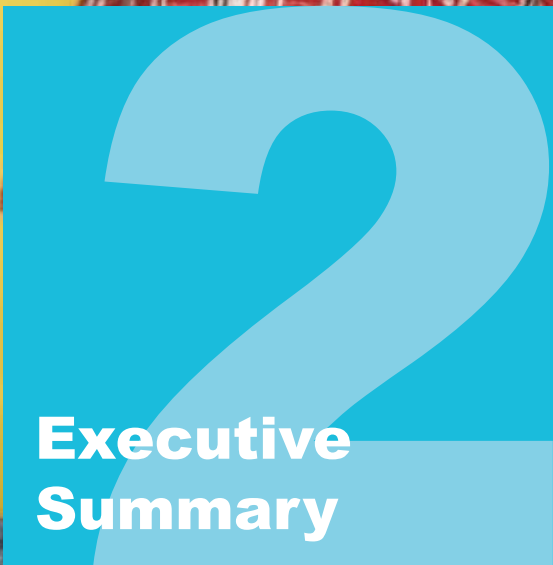
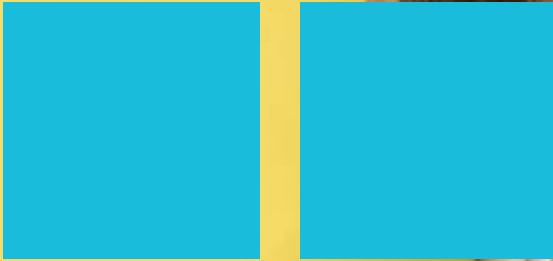
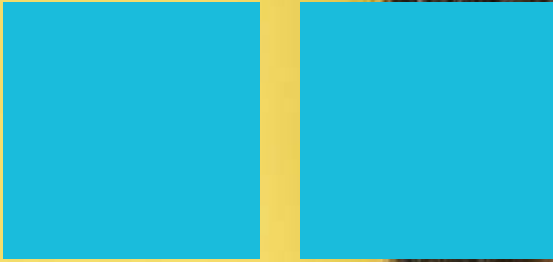
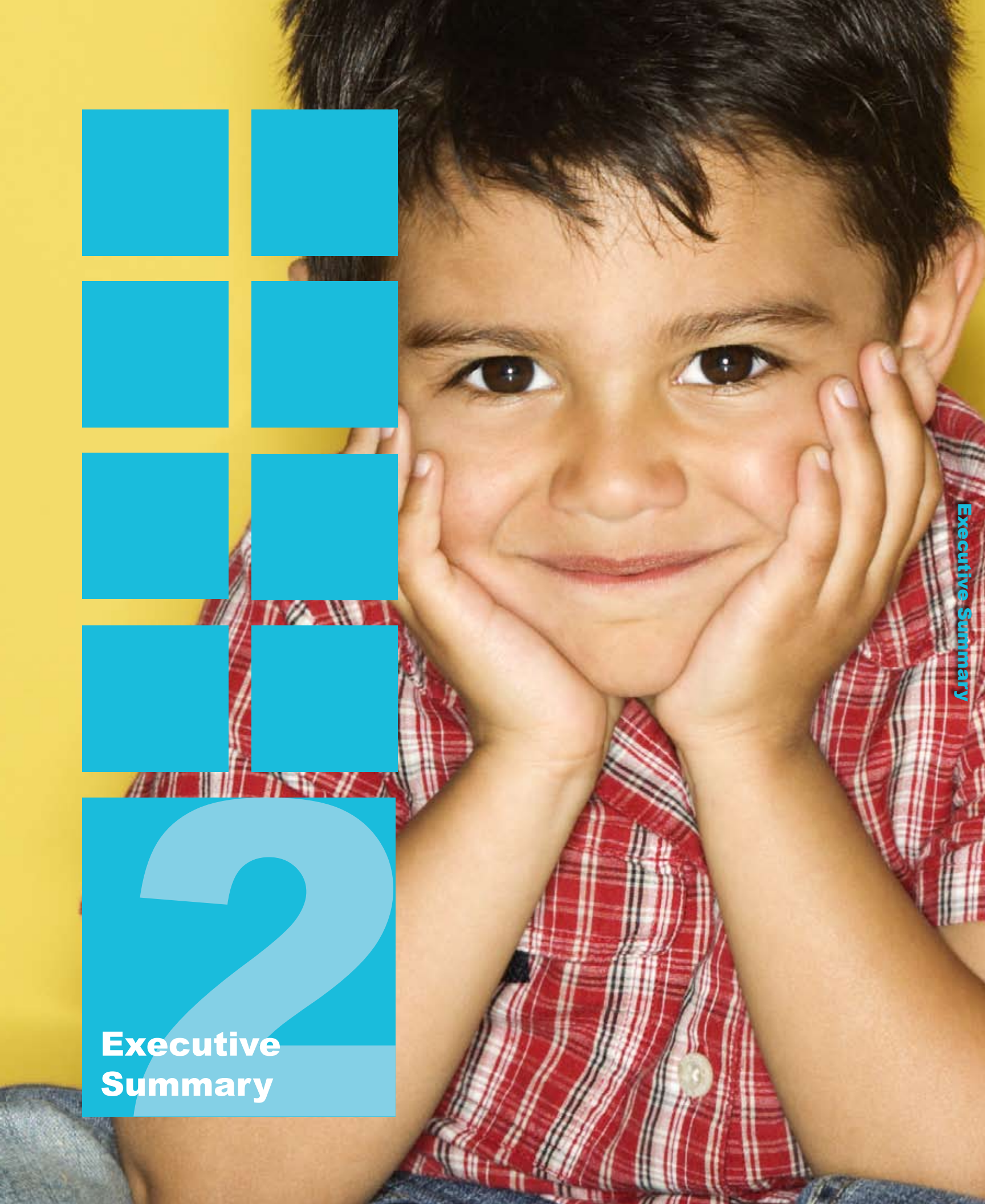
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Executive Summary

■ *Requirement 4.2.4 - Executive Summary. The bidder shall submit an executive summary that briefly states the strengths of the bidder and key features of its proposed approach to meet the requirements of this RFP.* ■

According to “Going Without: America’s Uninsured Children,” a 2005 report commissioned by the Robert Wood Johnson Foundation, more than seven out of 10 uninsured children could most likely be covered by currently available free or low-cost health insurance programs. The report indicates this statistic is troublesome because it means that the parents and legal guardians of these children are unaware of the insurance programs available to them.

In a report by the Kaiser Commission on Medicaid and the Uninsured titled “Health Coverage of Children: The Role of Medicaid and SCHIP,” published in September, 2007, “Educating families about Medicaid and SCHIP and simplifying enrollment/renewal processes will help children gain consistent coverage and access to care.” To minimize barriers to enrollment, the State of Iowa astutely and compassionately uses an array of outreach programs to successfully increase the number of children enrolled in its Medicaid and Healthy and Well Kids in Iowa (*hawk-i*) programs. The selection of an entity that can further automate and enhance the enrollment and renewal processes for the *hawk-i* program will complement the State’s outreach efforts and have an incredibly positive impact on the children of Iowa.

While the number of applicants and children served by *hawk-i* is increasing, barriers to enrollment still remain. The Iowa Department of Human Services’ (Department’s) dedication to reducing barriers to enrollment is evidenced by the increasing outreach efforts that have been undertaken and the desire to procure a Third Party Administrator (TPA) that has the experience and expertise to positively impact the *hawk-i* program. The ultimate goal of these efforts is to assure that Iowa’s children have access to the medical care they need to stay healthy while keeping their families educated regarding their healthcare options. The Department requires an experienced, reliable TPA who will have the same commitment and dedication to achieve its goal to make the *hawk-i* program as user-friendly and seamless as possible. Team Noridian is that partner.

Team Noridian, made up of Noridian Administrative Services, LLC, (Noridian), and its subcontractor Infocrossing Healthcare Services, Inc. (Infocrossing), offers the Department a commitment and robust capabilities to improve children’s health care experiences, proven performance in similar projects, best practices in implementation project management, an integrated approach to quality, and a strong technical solution. These key features of our approach are supported by a culture based on strong corporate values.

Noridian is currently the administrator of the North Dakota State Children’s Health Insurance Program (SCHIP) and the claims processor for the Wyoming SCHIP. Infocrossing currently provides services to the

Noridian and Infocrossing have extensive relevant experience providing customer service and healthcare administration services for multiple healthcare programs, including SCHIP.

Executive
Summary

Missouri SCHIP program. As separate entities, Noridian and Infocrossing each possess experience and capabilities essential to the administration of the *hawk-i* program. As a team, we offer the Department an experienced, capable, and caring partner committed to the long-term success of *hawk-i*.

Team Noridian’s Values Promote Excellence

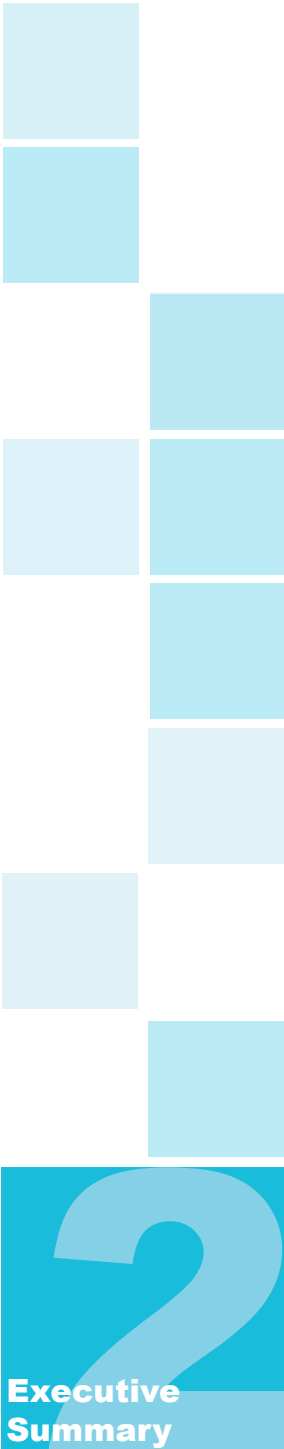
As the prime contractor in Team Noridian, Noridian offers a long history in the healthcare industry. Its work has been, and continues to be, guided by a strong set of values which support a system of internal controls. The personnel policies, code of conduct, and culture of Noridian clearly communicate a commitment to four principles:

- **Customers.** Noridian is committed to understand its customer’s needs and it proactively delivers products and services to meet those needs.
- **A Dynamic Workplace.** Working together, Noridian encourages an environment where every employee can pursue and be recognized for outstanding individual and team performance with diverse opportunities for personal growth.
- **Excellence.** Excellence is an expectation. Noridian continually improves and seeks to be the best.
- **Integrity.** Noridian is trustworthy, ethical, honest, and accountable for its actions.

Together, these values form an identity and infrastructure that promotes and requires excellence from all employees, as shown below in Figure 1-1 (Team Noridian Values). As the prime contractor in Team Noridian, Noridian’s commitment to excellence will be evident in everything it does to administer the *hawk-i* contract. Our team member, Infocrossing operates their extensive healthcare business also based on these common principles and will join Noridian to make these values a part of the whole Team Noridian operation.



Figure 1-1. Team Noridian Values. Working with us, the Department will clearly see that our personnel policies, code of conduct, and culture clearly communicate a commitment to four principles.



Team Noridian is Committed to Insuring Children

Team Noridian is ideally suited to provide administrative services for *hawk-i* because of a mutual concern for and commitment to insuring children and caring for the future generation of Iowans. Noridian's parent company, Blue Cross Blue Shield of North Dakota (BCBSND), established the North Dakota Caring for Children Foundation, Inc. and its Caring for Children Program in 1989. The Caring for Children Program, very similar to *hawk-i*, provides health insurance coverage to children of families who earn too much to qualify for government-funded programs, yet not enough to pay for private insurance. This program operates solely on charitable donations, and because BCBSND donates 100 percent of the operating costs, every single dollar of charitable donations goes to insuring children. Eight years hence, the federal government established the SCHIP program, formally known as Title XXI of the Social Security Act. Noridian has been committed to insuring children and their ability to obtain quality healthcare for nearly twice as long as the SCHIP program has even existed. In addition to the administration of the North Dakota SCHIP, Noridian is also the claims processor for the Wyoming Kid Care SCHIP.

Noridian's commitment extends to each of its employees. Its employees understand the importance of this program and the goal of insuring children. Noridian has a link to the Caring for Children Program on its Intranet site, many of its staff sponsor a year of health care for a child through payroll deductions, and Noridian sponsors "casual days" where in exchange for at least one dollar donated to the Caring for Children Program, an employee can wear casual attire to work.

In 1989, prior to Title XXI, Noridian established the Caring for Children Program, and continue to donate 100% of the operating costs for North Dakota children.

SCHIP Experience Prepares Team Noridian for *hawk-i*

Nearly 10 years ago, the State of North Dakota's Department of Human Services approached Noridian to assist in the implementation of the SCHIP in North Dakota. The State of North Dakota approached Noridian because Noridian's dedication to insuring children in North Dakota was well known through its development of the Caring for Children Program. Working together as two entities dedicated to insuring children, the State and Noridian achieved an exemplary SCHIP for North Dakota's children.

Known as "Healthy Steps," the North Dakota SCHIP is modeled similarly to Iowa's *hawk-i* program. As in Iowa, North Dakota State staff is responsible for reviewing an application for Medicaid eligibility, then referring the declined Medicaid applicants to the respective SCHIP. In North Dakota, when the applicant is not eligible for either North Dakota Medicaid or Healthy Steps, the application is automatically passed to Noridian to determine eligibility for enrollment in the Caring for Children Program. To more smoothly facilitate the transfer of the application, Noridian worked with the State of North Dakota to develop a common application form that both entities use for enrollment activities and processes related to Medicaid, SCHIP, and the Caring for Children program. This collaborative effort has simplified the enrollment process for

families, removing potential barriers to enrollment. Figure 2-1 (Eligibility Determination Flow) shows how the common application form flows through the multiple eligibility determination and enrollment processes.

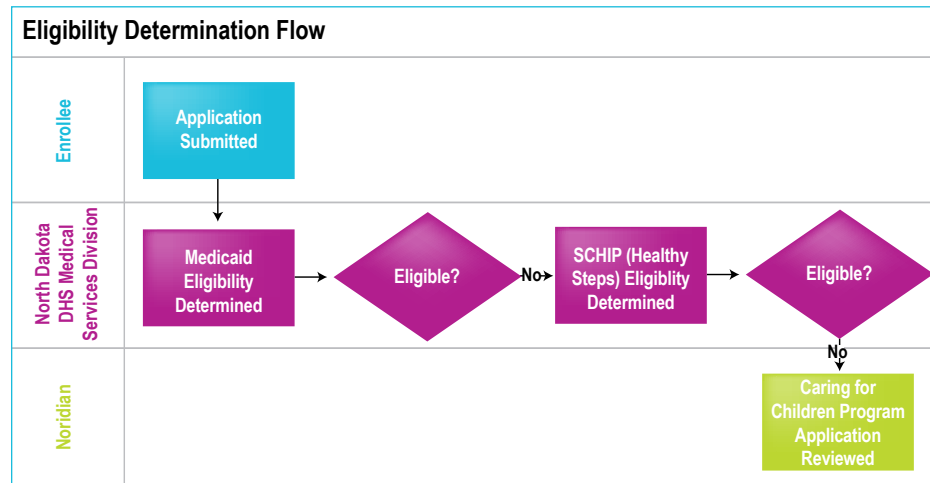


Figure 2-1. Eligibility Determination Flow. North Dakota and Noridian have worked together to develop a common application form used for North Dakota Medicaid, SCHIP, and the Caring for Children Program.

Noridian determines the eligibility of applicants for The Caring for Children Program and enrolls those eligible for the program. Further, Noridian administers both the North Dakota Healthy Steps SCHIP and The Caring for Children Program. Noridian performs a wide range of activities in support of these programs including supplying identification cards, producing benefit manuals and surveys, determining third-party-liability, paying claims, submitting encounter utilization data back to the State, and even sending birthday cards to the enrolled children.

Noridian's subcontractor, Infocrossing, currently administers the SCHIP for the State of Missouri. The State of Missouri is one of 11 states that chose to expand its Medicaid program to include SCHIP as an extension program. The State of Missouri penned the name "MC+ for Kids" to distinguish its SCHIP. In taking this approach, the State of Missouri integrated MC+ for Kids into the Medicaid eligibility determination process performed by the State. All other support services for MC+ for Kids were also integrated into the State of Missouri's Medicaid program, including all of the services and functions provided by their Fiscal Agent, Infocrossing.

Infocrossing, as a result of the State of Missouri's approach to implementing MC+ for Kids, provides all customer service support for the children enrolled in MC+ for Kids. From answering phone and Web inquiries, to maintaining enrolled children's eligibility information and adjudicating claims for the services provided to the children, Infocrossing has been responsible for ensuring the children of Missouri receive the healthcare they need to stay healthy and well-educated.

Noridian and Infocrossing, together as Team Noridian, bring years of experience performing the required *hawk-i* application processing and enrollment functions and also experience in the administration of health

and dental plans. This multidimensional experience prepares Team Noridian to understand the needs of both the Department and the health plans while being able to offer proactive solutions to assure the **hawk-i** program runs smoothly. This results in an efficient and cohesive enrollment process and the best possible healthcare experience for the children.

Figure 3-1 (Team Noridian Preparedness) depicts the experience Team Noridian possesses that is directly relevant to the required functions of **hawk-i** or functions that are performed by the health and dental plans. It is clear that Team Noridian is uniquely prepared to perform all of the **hawk-i** functions.

Activity/Process	Required for hawk-i Third Party Administrator or Health and Dental Plans Administration	Performed By Team Noridian for Other State(s) / Program(s)
Application Processing, Eligibility Determination	X	X
Premium Billing and Collection	X	X
Capitation/Premium Determination	X	X
Eligibility File Processing/Reconciliation	X	X
Application Customer Service via Phone and Web	X	X
Enrollee Customer Service via Phone and Web	X	X
Eligibility Cards	X	X
Benefit Manuals/Informational Pamphlets	X	X
Third-Party-Liability/Coordination Of Benefits	X	X
Claim Adjudication	X	X
Encounter Utilization Reporting	X	X
Surveys of Applicants/Enrollees	X	X
Outreach to Schools/Community Organizations	X	X
Birthday Cards		X

Figure 3-1. Team Noridian Preparedness. Team Noridian performs all essential hawk-i functions in support of other types of current business.

Our Extensive Experience Demonstrates Commitment to the Industry and Excellence in Service

The Centers for Medicare & Medicaid Services (CMS) awarded Noridian its original Medicare contract in 1966, but Noridian's history in health insurance extends much further back in time. For twenty-five years prior to this Medicare contract, BCBSND, the parent company of Noridian, was providing private health insurance coverage to North Dakotans. This extensive history in administering private healthcare insurance set the stage for success in administering government healthcare programs.

In the forty years that have passed since Noridian received its first Medicare contract; the CMS has awarded Noridian several additional

contracts. Noridian now serves 19 states for various lines of business, including Medicare Part A, Medicare Part B, and Durable Medical Equipment (DME), and Medicaid; Iowa is among the states supported by Noridian. In addition, Noridian is the contractor for the Competitive Acquisition Program (CAP) for Part B Drugs and Biologicals (Drug CAP) program, and Noridian is a subcontractor for the National Provider Identifier (NPI) Enumerator program.

In 2004, Noridian realized its goal of extending its vast experience and excellent services to the Medicaid program. That year, the Iowa Department of Health and Human Services awarded Noridian the Iowa Medicaid Management Information System (MMIS) Core contract and the Print / Mail contract for the Iowa Medicaid Enterprise (IME). In Iowa today, Noridian supports institutions, clients, and providers through this contract. And very recently, Noridian was awarded a contract with the CMS as a subcontractor for the Medicaid Integrity Contractor Audit program.

Infocrossing's ongoing commitment to the healthcare industry and the Medicaid program complements the experience of Noridian. Infocrossing has been the Fiscal Agent for the Missouri Department of Social Services' Medicaid program since 1988, bringing additional decades of Medicaid-specific experience to Team Noridian and ultimately the *hawk-i* program.

Infocrossing is also one of the most powerful and respected sources for healthcare related Information Technology (IT) solutions and services. Infocrossing manages the hardware, software, networks, and business transaction platforms for many of the world's leading companies while maintaining coast-to-coast data center operations. Further, Infocrossing has extensive expertise across all computing and e-commerce platforms. Infocrossing systems process nearly 285 million healthcare claims a year.

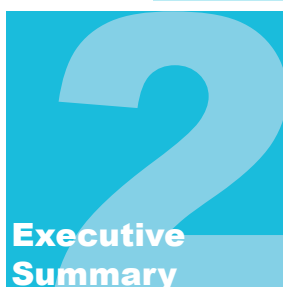
The partnership between Noridian and Infocrossing is not new and is based on shared values of competency, coordination, leadership, and accountability. Since 1998, Infocrossing has performed data center services in support of many of Noridian's Medicare Part B states. Infocrossing is a demonstrated leader in providing high-availability IT operations in support of its customers' technical and business goals. This extensive exposure to the healthcare industry will establish the best business practices and programmatic cross-fertilization to advance the goals of *hawk-i*.

Excellent Customer Service is One of Our Strengths

A commitment to excellent customer service is the central reason for the growth of Noridian from a one-state private insurance company to a multi-state company administering private, federal, and state health insurance programs. Its history of expansion helps to demonstrate its ability to provide excellent customer service and its commitment to the healthcare industry.

Noridian, the primary Team Noridian partner, employs approximately 200 Customer Service Representatives (CSRs) who answer more than 2.1 million calls annually and respond to more than 70,000 e-mails, written,

Noridian recognizes the enormous responsibilities of the *hawk-i* TPA.



facsimile, Internet, and walk-in inquiries regarding enrollment, benefits, billing, and all other elements related to the administration of healthcare.

As shown in Figure 4-1 (Noridian Call Centers and Offices), Noridian operates multiple remote customer service centers throughout the 19 states it serves. One of these customer service centers is in Des Moines, Iowa.

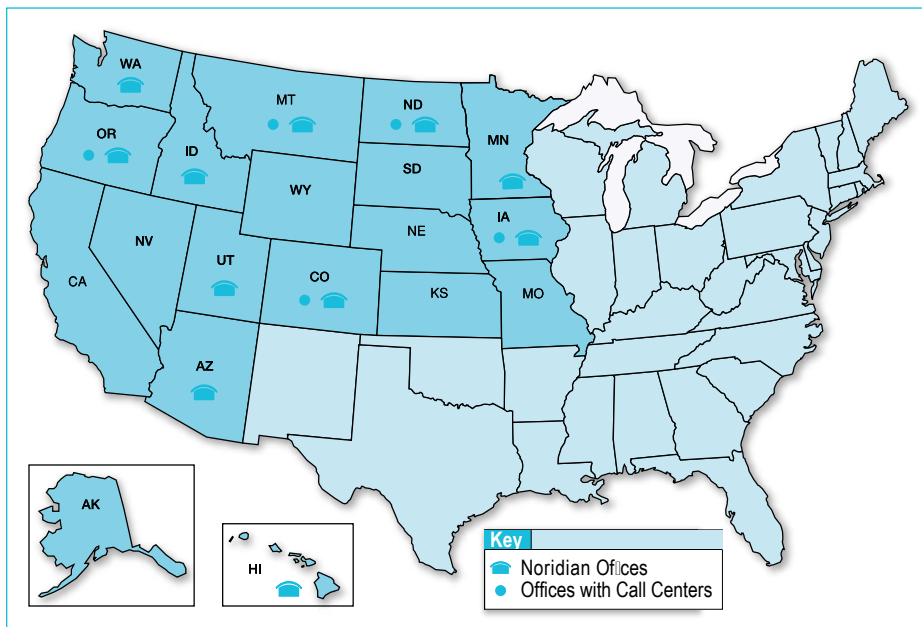


Figure 4-1. Noridian Call Centers and Offices. Noridian maintains excellence in customer service across multiple geographic regions through corporate commitment to excellence.

Infocrossing supports Missouri's HealthNet member and provider communities by responding to inquiries and requests related to Medicaid and the SCHIP. Infocrossing's Missouri HealthNet customer service center is staffed by 74 CSRs who answer more than 600,000 calls annually. The customer service center also responds to more than 63,000 electronic mail, written, facsimile, and Web site inquiries each year. Infocrossing has been providing this service to Missouri for 19 years.

We Bring Experience in Application Processing

Team Noridian recognizes that the enrollment process is central to the success of the *hawk-i* program. Knowing that each application to the *hawk-i* program embodies the hope of parents or legal guardians to insure their child or children, Team Noridian understands that the *hawk-i* TPA has an enormous responsibility to process that application accurately and timely with a goal of opening the door to, not putting a barrier in front of, healthcare services. Noridian currently processes member and provider enrollments for BCBSND private insurance, coordinate the activities of the North Dakota SCHIP and North Dakota's Caring for Children programs, and process provider enrollments for Medicare, Electronic Data Interchange (EDI), NPI Enumerator operations, and the federal Drug CAP.

With the vast application processing experience of Team Noridian, the Department can rely upon established enrollment processes and

procedures that are easily tailored to the specific needs of *hawk-i*. To support enrollment activities, Team Noridian will use a robust eligibility system, a proven financial system, and an Electronic Document Management System (EDMS) to manage document storage and workflow. We speak to these systems later in this executive summary and provide much more detail in subsequent sections of this proposal.

Our Transition Plan and Project Management is Proven and Consistent

Noridian's highly successful management of similar development, conversion, and transitions efforts over the decades has evolved into a sound, proven project management approach. As a testimony to Noridian's transition capabilities, the CMS has chosen Noridian more than any other contractor to incorporate additional workload into its existing contract. On several occasions, the CMS has requested Noridian to mentor other contractors through transitions and conversions. A table reflecting Noridian's comprehensive conversion and transition experience is included in Section 5 (Experience) of this proposal.

The CMS' frequent selection of Noridian is evidence of its confidence in Noridian's ability to successfully transition workload.

In addition to staff who are experienced with workload transitions, system implementations, and administration of children's insurance programs, Noridian brings proven, consistent, repeatable project management practices. Noridian is committed to the successful, on-time implementation of each project that it manages. Noridian uses documented procedures, well-defined plans, strong project management controls, customer involvement, and effective communication methods to meet all time and budget constraints with high-quality results. The CMS has honored Noridian by incorporating much of Noridian's project management approach into its Workload Transition Handbook for its current Medicare Administrative Contractor efforts.

During the Transition Phase, Team Noridian will use the Project Management Institute's standard project management methodology as a basis for performing, managing, and documenting all project activities. Our process and product-based approach can be tailored and scaled to meet the specific type and size needs for the *hawk-i* project. We define each process, key inputs and outputs, the specific objectives to be achieved, and the specific activities to be carried out. We divide a project into manageable pieces and stages to enable efficient control of resources and regular monitoring. In planning a project, we focus on results rather than simply planning when the various activities will be completed.

Since the *hawk-i* project is composed of both manual (people-driven) processes and IT processes, we will take both types of processes into account during the Transition Phase. Therefore, each of the associated System Development Life Cycle (SDLC) tasks will involve transitioning and implementing staff business functions as well as IT processes.

For example, during the Requirements Analysis and Validation Task, we will review and document all of the processes involved in each business



Figure 5-1. Best Value Model. Team Noridian is committed to bringing quality solutions, providing exceptional performance, at a reasonable cost, that supports flexibility and agility in the operation.

function, both manual and IT. As we introduce new techniques into each function, such as automated workflows, we will use and update existing policy, employee and training manuals.

Our transition and project management plans reflect the guiding principles of a best value model, which considers quality, cost, performance, and agility as depicted in Figure 5-1 (Best Value Model). Striving for quality in day-to-day operations, Noridian has fostered a culture of excellence. When Noridian identifies process improvements, system enhancements, and innovative opportunities, it evaluates costs to make sure it achieves maximum return on administrative expense. Also, in Noridian's performance, Noridian strives to provide the best ratio of production output to administrative dollars spent. Finally, understanding that the healthcare industry is one of change resulting from federal and state guidance and technology improvements, Noridian aims to proactively implement innovative and agile capabilities in its systems and processes to accommodate change.

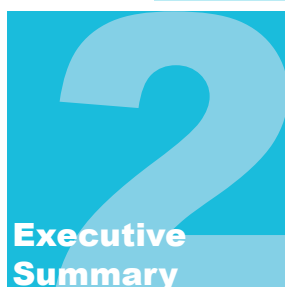
Our transition and project management methodologies, coupled with our best value model, will provide **hawk-i** stakeholders with service that is timely, efficient, cost effective, and customer-based.

Our Quality Management Program Holds Us Responsible to Meet Performance and Quality Expectations

Team Noridian positions quality assurance and quality management at the center of every development project, every operational function, and every employee process. This approach reflects an overall philosophy that quality management processes are an integral, interwoven part of managing our organization and projects, not a parallel activity. By emphasizing continual, integrated quality management, we set the expectation for doing the job right the first time. This focus on quality management will guide our work effort for **hawk-i**, producing results that meet or exceed customer performance expectations.

Strong internal controls and compliance programs will play an essential role in Team Noridian's quality management practices. We measure, monitor, and enforce standards at both the employee and team levels with detailed reporting and feedback. We strive to continually enhance the quality management system through workflow process improvements, process automation, and the implementation of smart technology.

Our commitment to quality will be evident by our allocation of the resources necessary to implement, maintain, and continually improve the effectiveness of our Quality Management Plan. We will allocate specific quality management staff, including a Quality Coordinator and Quality Analysts, to this project. By continually reviewing and improving our Quality Management Plan, the Quality Coordinator and Quality Analysts, along with the Project and Systems Managers, will ensure the project's



cost, schedule, performance, and quality results meet or exceed agreed upon expectations.

Our Technology is Flexible, Intuitive, User-Friendly, and Proven

Technology capable of supporting the current and future needs of the growing *hawk-i* program is an integral component to removing obstacles to providing the children of Iowa with health insurance. Team Noridian understands the Department's dedication to increasing contractor performance through quality control measures and oversight. In addition, we know that by increasing the use of the right technology in the right places, the quality of customer service and the ability to effectively manage complex caseloads is enhanced. Therefore, Team Noridian offers the Department an integrated, cost-effective solution that adapts to change while assuring timeliness and accuracy, thus enabling the *hawk-i* program to change and adapt quickly, efficiently, and cost-effectively.

Q/Care

The first component of this integrated solution is Q/Care, which is maintained and operated by Infocrossing. Q/Care is a powerful, rules-based system with a user-friendly graphical interface and advanced reporting capabilities. Q/Care is used in a number of healthcare business models, including the enrollment, management, and invoicing of Medicare Part D members. Q/Care uses IBM's latest technology; thereby ensuring the reliability and dependability customers have come to expect. As one of the market's first and most robust rules-based solutions, Q/Care can be configured to meet specific Department requirements for fast implementation without tedious, costly customized coding.

Q/Care is developed and maintained using Capability Maturity Model (CMM) software development life cycle processes to provide a quality deliverable. Infocrossing projects are currently operating under the procedures defined for CMM Level 3. Advancing levels of certification ensure that Infocrossing continually looks for ways to improve the quality of process and the product delivered. Since implementing CMM processes in 1996, Infocrossing has delivered all subsequent releases of Q/Care on time and within budget.

OnBase - Electronic Document Management System

The second component of our technology solution is our Electronic Document Management System, OnBase, by Hyland Software. OnBase is a proven Commercial-Off-the-Shelf (COTS) product that will be used to control all incoming applications, renewals, correspondence, and other mail; track them all by means of an automated workflow; and ensure timely processing through final resolution. OnBase will facilitate the electronic management and distribution of the applications, correspondence, and system reports, regardless of whether they were

Q/Care releases are consistently delivered on time and within budget.

Executive
Summary

originally received on paper or electronically. OnBase will also provide sophisticated processes for routing these electronic transactions through efficiency-enabling workflows. Automated notifications will be sent from workflow processes to ensure workload is completed in a timely manner.

In addition to the workflow processes, OnBase provides a centralized repository for the electronic files captured via scanning, importing, facsimile, or workflow. All of the information related to an applicant or enrollee's case file is immediately available to an authorized user. Having this information at their fingertips will expedite customer service and eliminate the need to place callers on hold to find a paper file. Overall, OnBase's electronic filing system will save time for employees in all departments. Users will electronically search files and see the contents at a glance, eliminating the need to flip through paper documents or paper-generated reports. As a full enterprise management solution, OnBase will be the image, document, report, facsimile, electronic mail, and workflow management tool that integrates with Q/Care to support Noridian and Infocrossing as the *hawk-i* TPA.

OnBase will be integrated with Q/Care to allow users access to documents in OnBase. For example, users will be able to simply click on a data field or hit a hot-key combination and view the related document(s) in OnBase pertaining to that application and/or enrollee's case file.

Noridian has a wealth of experience in implementing and using OnBase and automated workflow processes. Since 2002, Noridian has used OnBase for workflow and document management in all of its lines of business. OnBase supports the processing of over 80 million Medicare Part A and B healthcare claims and associated documentation for five million members and over 120,000 physicians and facilities. It also supports all facets of the NPI Enumerator, EDI, and Iowa Medicaid Enterprise, and it was even implemented by Noridian in another state's Blue Cross Blue Shield operation in just a matter of a couple months.

OnBase and the Imaging Systems and Support Team supports the yearly processing of over 80 million claims for five million members and 120,000 providers.

***hawk-i* Web Site**

The third component of our technology solution is the *hawk-i* program's Web site. The Web site will contain educational and promotional material, benefit plan information, events and statistics; all presented in both English and Spanish. The Web site will also provide *hawk-i* enrollment application and renewal functions that are integrated with OnBase's automated workflow functionality. Once an application or renewal is completed on-line, it will be routed through the same workflow as the paper applications or renewals ensuring consistency and accuracy in processing. This integration provides the application and renewal data collection and management tools for the *hawk-i* program to effectively support its healthcare administration needs. The Web-based component streamlines the eligibility verification and enrollment processes, thus reducing the time and expense required to enroll each new enrollee. It allows healthcare programs, such as *hawk-i*, to increase the number of applications processed while simultaneously increasing the quality of customer service.

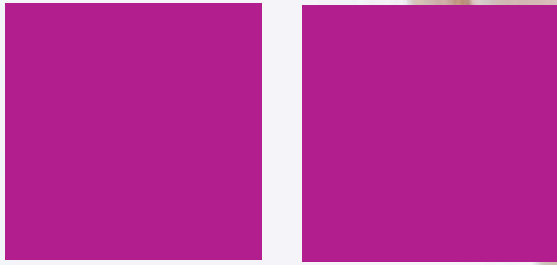
Low Risk, Cost Effective Technology for the Future Needs of *hawk-i*

By implementing Team Noridian's technology solution, the Department will mitigate system-related risks to the *hawk-i* program. Team Noridian's Web site, OnBase, and Q/Care have a successful record in supporting diverse and complex healthcare programs; these systems will be fully integrated to further reduce risks of things falling through the cracks. These systems are backed by Team Noridian's strong internal controls and quality management practices. Infocrossing CMMI Level 3 designation and Noridian's International Standards Organization (ISO) 9001 equivalence rating provide evidence of Team Noridian's ongoing dedication to change management and quality implementation. By implementing Team Noridian's solution, the Department will be able to more cost-effectively meet the expanding needs of the *hawk-i* program.

In Conclusion, We Are Committed to the Success of *hawk-i*

Team Noridian is committed to providing the necessary resources to make the Iowa *hawk-i* transition and ongoing operation an incredible success. In our administration of the *hawk-i* project, the Department can rely upon our transition experience; knowledge of Medicare, Medicaid, and commercial administration and operations; technological and innovative solutions; proven commitment to our customers; and our long-term desire to be a major player as healthcare evolves. To ensure the success of the *hawk-i* contract, we will bring together the best people, technologies, and knowledge from our entire organizations.

The responsibility and accountability we feel to the CMS, our state customers, beneficiaries, recipients, providers, and suppliers has always been fundamental to the Team Noridian mission. When the Department, families, and legal guardians in Iowa work with us to enroll and maintain children in *hawk-i*, we will be committed to making their experience one that gives them peace of mind.

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**Background
Information**

Background Information

■ *Requirement 4.2.5 - Background Information. The bidder shall provide the following general background information:* ■

Noridian Administrative Services, LLC (Noridian) has over 60 years of experience in providing services to meet the needs of the health care industry and those the industry serves. Noridian is a group of companies aligned under the direction of Noridian Mutual Insurance Company, dba BlueCross BlueShield of North Dakota (BCBSND). BCBSND, a not-for-profit mutual insurance company founded in the 1940s, offered North Dakota's first prepaid hospital and medical health coverage plans. Since that time, BCBSND has grown into a multi-faceted corporation.

As a group of companies within the BCBSND corporation—a corporation with decades of experience in administering insurance programs—Noridian has an established presence in the health care industry, a strong relationship with the federal government and state governments, and a commitment to meeting the needs of beneficiaries and members throughout the United States.

Within this section of our proposal, we provide the background information on our company as requested in Section 4.2.5 of the RFP. Although Noridian Administrative Services, LLC is often referred to as NAS, for purposes of this proposal, Noridian Administrative Services, LLC will be referred to simply as “Noridian.”

Our Headquarters

■ *Requirement 4.2.5.1 - Main office name, address, telephone number, fax number and e-mail address of the bidder including all d/b/a's or assumed names or other operating names of the bidder.* ■

Our information for our Noridian headquarters in Fargo, North Dakota, is as follows:

Main office name: Noridian Administrative Services, LLC

Address: 901 40th Street South, Suite 1

Fargo, ND 58103-2146

Telephone Number: (701) 277-6500

Fax Number: (701) 277-5150

E-mail Address: solutions@NASadvantage.com

Our Form of Business Entity

■ *Requirement 4.2.5.2 - Form of business entity, i.e., corporation, partnership, proprietorship, limited liability company.* ■

As indicated by its full, legal name, Noridian Administrative Services, LLC is a Limited Liability Company.

With decades of experience as a Medicare

contractor with the federal government, we know how to provide our clients with efficient and high-quality services. Our mission is to help our clients succeed and increase productivity, no matter their business needs.

- Jay Martinson, Executive Vice President and Chief Operating Officer



**Background
Information**

Our State of Incorporation

■ Requirement 4.2.5.3 - State of incorporation, state of formation, or state of organization. ■

Noridian's state of incorporation is Delaware.

Our Offices and Facilities of Importance to This RFP

■ Requirement 4.2.5.4 - Identity and specify the location(s) and telephone numbers of the major offices and other facilities that relate to the bidder's performance under the terms of this RFP. ■



Noridian has offices throughout the western and midwestern United States. Three of these offices—our headquarters, our Des Moines office, and the headquarters of our parent company, BCBSND—relate to our performance under the terms of this RFP. Each office address and telephone number is listed below.

Noridian Administrative Services, LLC Headquarters:

Noridian Administrative Services, LLC
900 42nd Street South
Fargo, ND 58103
Telephone number: (701) 277-6500

Des Moines Office:

Noridian Administrative Services, LLC – Medicare office
2200 Rittenhouse St, Suite 175
Des Moines, IA 50321
Telephone number: (515) 974-3600

BCBSND Headquarters:

Blue Cross Blue Shield of North Dakota
4510 13th Ave S
Fargo, ND 58121
Telephone number: (701) 282-1100

Our subcontractor for our proposal to administer the Healthy and Well Kids in Iowa (**hawk-i**) program, Infocrossing Healthcare Services, Inc. (Infocrossing), also has facilities that relate to our performance under the terms of this RFP. Those facility addresses and telephone numbers are listed below.

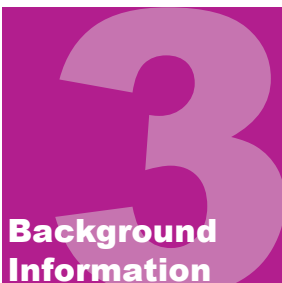


Infocrossing Administrative Headquarters:

Infocrossing Healthcare Services, Inc Corporate Office
14055 Riveredge Dr., Suite 450
Tampa, FL 33637
Telephone number: (813) 579-9100

Infocrossing Leonia Data Center:

Infocrossing Healthcare Services, Inc.
2 Christie Heights Street
Leon, NJ 07605
Telephone number: (201) 840-4700



Our Office in Des Moines, Iowa

■ *Requirement 4.2.5.5 - Local office address and telephone number (if any).* ■

Since 1998, Noridian has had an office in Des Moines, Iowa. The address and telephone number for our Des Moines office follow:

Noridian Administrative Services, LLC – Medicare office
2200 Rittenhouse St, Suite 175
Des Moines, IA 50321
Telephone number: (515) 974-3600

Our Number of Employees

■ *Requirement 4.2.5.6 - Number of employees.* ■

Noridian currently employs more than 1,400 full-time staff and more than 20 part-time staff.

BCBSND, our parent company, currently employs more than 970 full-time staff and more than 50 part-time staff.

Our Business Is Health Care

■ *Requirement 4.2.5.7 - Type of business.* ■

Noridian is a group of companies identified with BCBSND. BCBSND is a multi-faceted corporation providing private health coverage, life insurance, administrative services, third-party administration and many other products and services. BCBSND provides quality health care coverage and additional supplemental coverage, essentially offering “one-stop shopping” for those seeking medical, life, disability, long-term care and related insurance coverage.

As a subsidiary of BCBSND, Noridian specializes in providing governmental agencies and private businesses with high-quality administrative services, from call centers and document management, to print and mail operations. The services we provide offer cost-effective solutions for organizations’ information management and customer service needs. We use the latest technology and modern facilities in our business activities, providing customers with peace of mind while saving time and money.

Our Representative to Contact

■ *4.2.5.8 Name, address and telephone number of the bidder’s representative to contact regarding all contractual and technical matters concerning this proposal.* ■

Jeff Harmon, the Noridian Assistant Vice President of Medicaid Services, is the point of contact for this proposal’s contractual and technical matters. His contact information follows:

Jeff Harmon, AVP Medicaid Services
901 40th Street South Suite 1
Fargo, ND 58103-2146
Telephone number: (701) 282-1261
Fax number: (701) 277-5150

Our Accounting Firm

■ Requirement 4.2.5.9 - Identify the bidder's accounting firm. ■

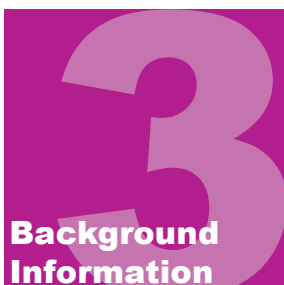
Noridian uses Eide Bailey as its accounting firm.

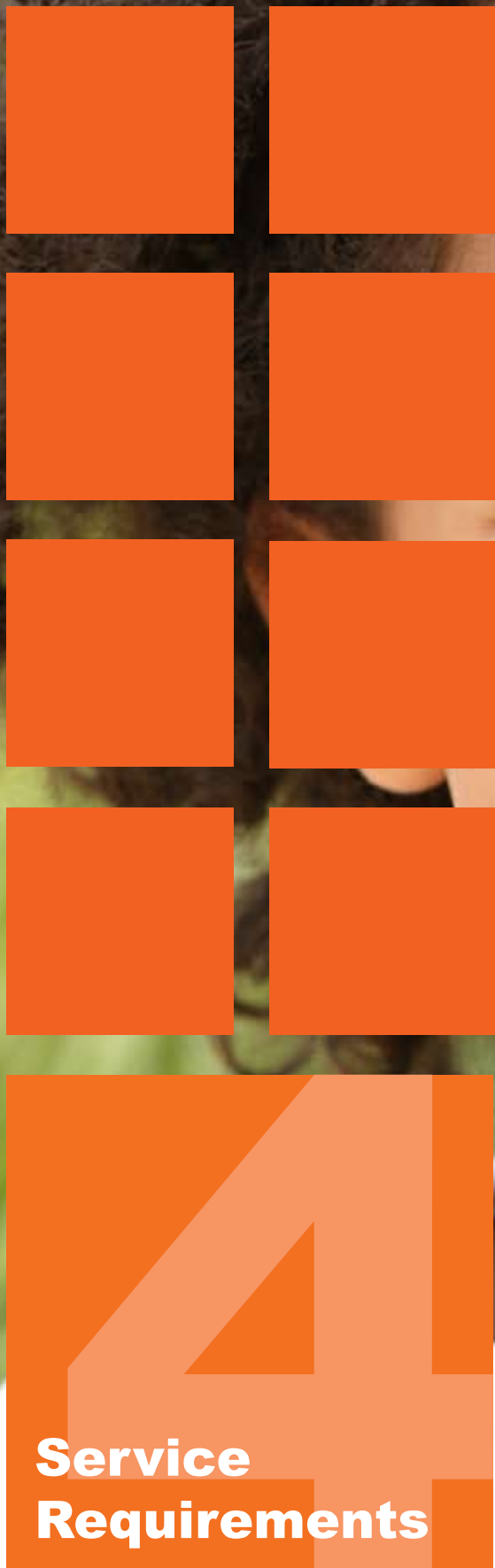
Our Registration to do Business in Iowa

■ Requirement 4.2.5.10 - The successful bidder will be required to register to do business in Iowa. If already registered, provide the date of the bidder's registration to do business in Iowa and the name of the bidder's registered agent. ■

Noridian is registered to do business in the state of Iowa.

- Date of registration: August 26, 2002
- Registered agent: Missy Eilander, Noridian Manager





**Service
Requirements**

Service Requirements

■ *Requirement 4.2.6 – Service Requirements. The bidder shall address each service requirement in Section 3 and explain how it plans to approach each requirement. Bidders are given wide latitude in the degree of detail they offer or the extent to which they reveal plans, designs, examples, processes, and procedures. Bid proposals must be fully responsive to the service requirements in Section 3. Merely repeating the requirement will be considered non-responsive and disqualify the bidder. Bid proposals must identify any deviations from the requirements of this RFP the bidder cannot satisfy.* ■

It is clear that the Iowa Department of Human Services (Department) is seeking an experienced Third Party Administrator (TPA) who can provide a high-availability, quality Information Technology (IT) operation so they can effectively and efficiently address all the business, administration, and technical goals of the Healthy and Well Kids in Iowa (**hawk-i**) program. Section 4 (Service Requirements) provides the details of how Team Noridian can support this goal. We have summarized the highlights to our approach below.

In support of the Department's expectations, Team Noridian will implement a Customer Service Center modeled after the successful operations that we have in place to manage our other government and commercial healthcare contracts. We will provide skilled and professional staff that we will train on all applicable business functions and on all aspects of providing excellent service to customers. These courses are specifically designed to ensure we treat our customers with the dignity and respect they deserve. We will couple our staff and training program with advanced technology such as automated workflows, a centralized facsimile service, and automatic call distribution software.

To manage application, enrollment, eligibility, financial, and reporting processes, Team Noridian will implement an integrated solution that consists of Infocrossing Healthcare System, Inc.'s Q/Care system and OnBase by Hyland Software. This combined solution will offer the Department superior modern technology to support the administration of the **hawk-i** program.

The first component of this solution is Q/Care. This powerful, rules-based system provides the integrated eligibility, enrollment, reporting and accounting capabilities needed to address all **hawk-i** administration requirements. The second product of our systems solution is OnBase, an Electronic Document Management System (EDMS) that we will use to facilitate the electronic creation, management, and distribution of the applications and other incoming correspondence. These systems will be fully integrated to provide a seamless solution supporting all required functionality of the **hawk-i** operation.

Team Noridian will develop and implement these applications using a Software Development Plan and our Systems Development Life Cycle (SDLC) methodology which is based on the principals of Capability Maturity Model Level 3. The use of this SDLC will extend into the Operations Phase and will be used for modifications and updates to the system.

Service Requirements

We will manage the transition of the **hawk-i** business and system functions using Team Noridian's integrated project approach which uses the Project Management Institute's standard project management methodology as the basis for managing, administering, and documenting all project activities. The Transition Phase will be plan-driven and as part of the Transitions Phase Team Noridian will develop a Project Management Plan, Communications Plan, Quality Management Plan, Training Plan, and Risk Management Plan.

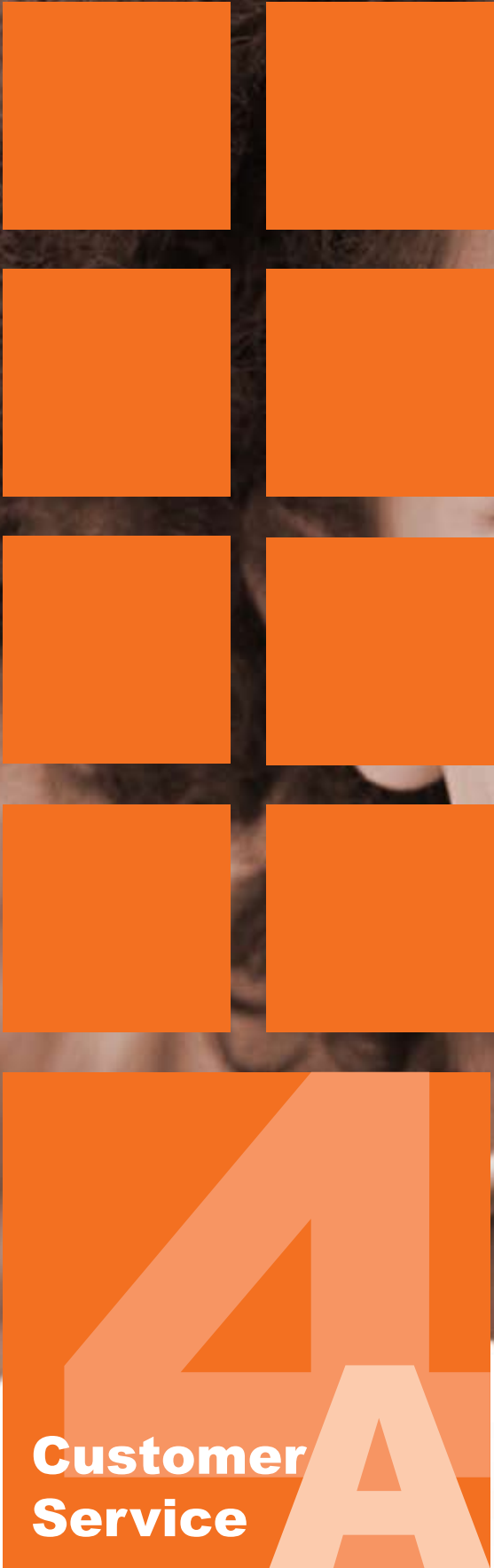
The day-to-day business during the Operations Phase will also be plan driven through the use of our Systems and Data Security Plan, Disaster Recovery Plan, Systems Operations Plan, Configuration Management Plan, Staffing and Recruitment Plan, Risk Management Plan, and Training Plan.

Team Noridian will promote an atmosphere of collaboration and cooperation through all stakeholders involved in this project by establishing a Core Team and a Communications Plan. The Communications Plan will identify all stakeholders, provide contact information, and lay out the processes for communications through both the Transitions Phase and the Operations Phase.

Last, but most important, we will implement a total Quality Management Program (QMP) based on the principles of Total Quality Management, the Project Management Institute (PMI), and International Standards Organization (ISO) 9001 guidelines. This focus on quality management guides Team Noridian's work effort, producing results that meet or exceed customer performance expectations. Backed by strong internal controls and compliance programs, Team Noridian positions quality assurance and quality management at the center of every development project, every operational function, and every employee process.

Section 4 (Service Requirements) provides detail on all of the above activities and IT systems in response to each of the Department's requirements. We believe that our IT solution, our management and quality plans, and our years of experience and success in this business positions Team Noridian as an exceptional candidate to partner with the Department in this important endeavor.

4 Service Requirements



**Customer
Service**

Customer Service

Team Noridian ADVANTAGE

- Team Noridian's commitment to excellence and customer satisfaction is evident in our combined 80 years of experience in implementing and operating customer service centers.
- Noridian has an excellent customer service representative training program which is designed to develop and enhance customer service skills.
- Within a structure of continuous improvement, we modify procedures, techniques, and staff roles on an ongoing basis to enhance productivity and effectiveness.

Combined, the partners that make up Team Noridian have over 80 years of experience in implementing and operating customer service centers. Noridian Administrative Services, LLC (Noridian), the prime contractor, has demonstrated excellence in customer service for over six decades. A commitment to excellent customer service is the central reason for the growth of Noridian from a one-state private insurance company to a multi-state company administering private, federal, and state health insurance programs. Noridian's history of expansion demonstrates its excellent performance in the customer service arena and its commitment to the healthcare industry. Infocrossing Healthcare Services, Inc. (Infocrossing) has been the Fiscal Agent for the Missouri Department of Social Services' Medicaid program since 1988, bringing Medicaid – specific customer service center experience to Team Noridian and ultimately the Healthy and Well Kids in Iowa (*hawk-i*) program.

A big factor in our success in operating customer service centers is our excellent training program. Team Noridian employees who interact with the public on a regular basis are given thorough customer service training because Team Noridian recognizes its employees are an investment in the success of all of its programs and the satisfaction of the customer. We provide education to our staff on all aspects of providing excellent service to customers. These courses are designed to ensure we treat our customers with the dignity and respect they deserve. And, when we hire new staff, we seek to hire experienced customer service representatives with excellent communication skills, the ability to multi-task, flexibility, and adaptability.

Coupled with our skilled personnel, is the technology that will support the customer service center. Our telephone and facsimile systems will exceed the requirements stated in this section. We will use a centralized facsimile service which virtually eliminates any memory or capacity issues. The facsimiles will be routed through our Electronic Document Management System to ensure timely processing. Our telephone system will include automatic call distribution and reporting features and our Quality Management Program will ensure performance measurements are met by all staff.

We believe that as the Iowa Department of Human Services (Department) reviews this section, they will see the commitment that Team Noridian has to excellent customer service and the benefits that our team offers to this important endeavor.

Our Customer Service Center for This Project Will be Modeled on our Already-Established Centers

■ *Requirement 3A.1 – Customer Service Center. The customer service center will be the primary point of contact for most applicants, Enrollees, and other persons inquiring about the program. The customer service center must be located in the greater Des Moines, Iowa area. The TPA shall place a high priority in ensuring that the customer service center is adequately*

Customer
Service

staffed with professional, bi-lingual (English and Spanish speaking), well-trained and courteous personnel who can respond quickly and accurately to callers, provide information, and gather demographic information about the caller when necessary. The TPA shall ensure that all customer service representatives identify themselves by name when answering calls, treat callers with dignity and respect and ensure each caller's right to privacy and confidentiality. ■

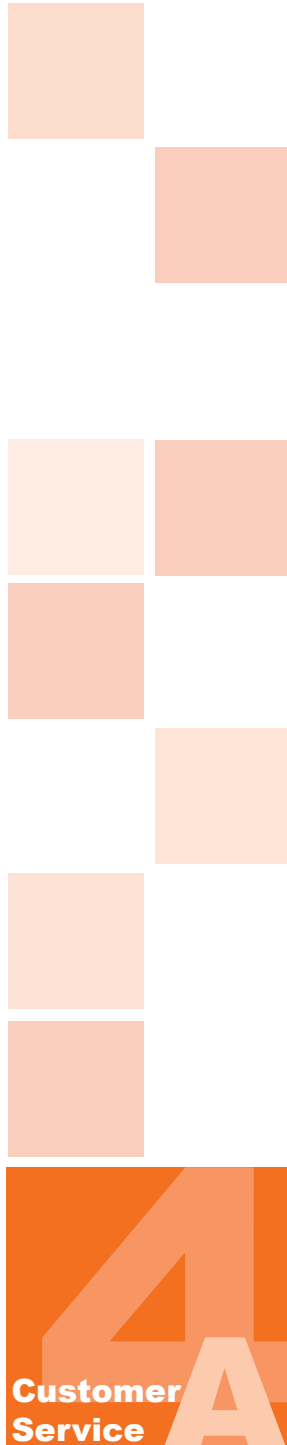
Team Noridian has a history of commitment to excellent customer service and a proven track record of performance in the customer service arena. Together, Noridian and Infocrossing have more than 40 years of experience operating healthcare contact centers and more than 18 years of experience operating distributed multi-site provider and beneficiary (member) customer service centers in support of our Medicare Part A, Medicare Part B, and Medicaid programs. Noridian and its partner Infocrossing currently have multiple remote customer service centers, one of which is located in Des Moines, Iowa. Although the current contract supporting this center will end early 2008, Noridian will be retaining the use of this site for the **hawk-i** call center. This site already has the necessary telecommunications and telephone infrastructure in place for a call center.

Across all of Noridian's customer service centers, approximately 200 Customer Service Representatives (CSRs) answer more than 2.1 million calls annually. Noridian's provider contact centers also respond to more than 70,000 electronic mail, written, facsimile, Web site, and walk-in inquiries regarding the Medicare Part A, Medicare Part B, and Durable Medical Equipment (DME) programs. Noridian presently supports hospitals, clinics, physicians, and members in Iowa via the Iowa Medicaid Enterprise (IME) Core contract, in addition to supporting physicians through the Medicare Part B claims processing contract with the Centers for Medicare & Medicaid Services (CMS). Our parent company, Blue Cross Blue Shield of North Dakota (BCBSND) enrolls eligible children in health and dental plans and in the Caring for Children program. Noridian is also a subcontractor for the National Provider Identifier (NPI) enumerator program where it processes provider applications and performs customer service activities.

Infocrossing supports Missouri's HealthNet member and provider communities by responding to inquiries and requests related to Medicaid and the State Children's Health Insurance Program (SCHIP). Infocrossing's Missouri HealthNet customer service center is staffed by 74 CSRs who answer more than 600,000 calls annually. The customer service center also responds to more than 63,000 electronic mail, written, facsimile, and Web site inquiries each year. Infocrossing has been providing this service to Missouri for over 18 years.

This combined customer service experience coupled with our presence and dedication to the state of Iowa provides us the necessary background to effectively manage the customer contact center in support of the **hawk-i** program.

Our many years of experience operating customer contact centers have solidified our belief that first impressions can become lasting impressions. The customer service center staff often represents the first contact a



family has with a program such as **hawk-i**. A caller's positive interaction with a CSR may well serve as a catalyst in the decision about whether to participate in the **hawk-i** program. We share the Department's goals of protecting Iowa's children through increased **hawk-i** enrollment. We will select and train our staff to be kind, responsive, pro-active, and efficient. We will strive to staff our customer service center with English and Spanish speaking CSRs. To ensure the best service possible to our customers, all of our CSRs will also serve as Enrollment Specialists and will be known as Enrollment Customer Service Representatives (ECSRs). They will be referred to as such throughout the remainder of this proposal.

Team Noridian's Corporate Values

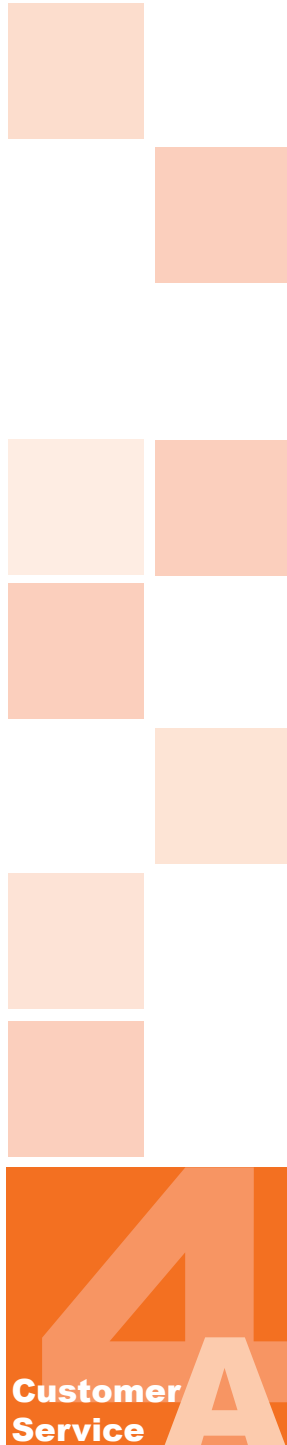
Team Noridian's commitment to excellent customer service is one of our driving principals, and as shown in Figure 1-4A (Team Noridian's Corporate Values) is the main focus of our corporate values. Team Noridian's work is guided by a strong set of values, which support our system of internal controls. Our personnel policies, code of conduct, and culture clearly communicate a commitment to four principles:

- **Our Customers.** We are committed to understand our customer's needs and we proactively deliver products and services to meet those needs.
- **A Dynamic Workplace.** Working together, we encourage an environment where every employee can pursue and be recognized for outstanding individual and team performance with diverse opportunities for personal growth.
- **Excellence.** Excellence is an expectation. We continually improve and seek to be the best.
- **Integrity.** We are trustworthy, ethical, honest, and accountable for our actions.

Together, these values form an infrastructure that promotes and requires excellence from all of our employees. Our commitment to excellence will be evident in everything we do to administer the **hawk-i** contract.



Figure 1-4A. Team Noridian's Corporate Values. Our corporate values are the driving principals of all our staff and promote excellence in all areas.

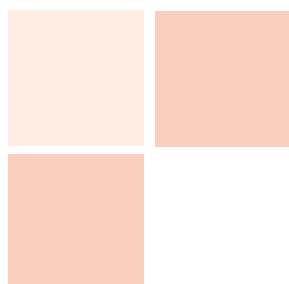
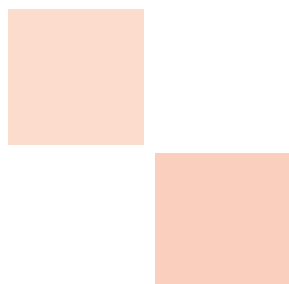


Customer Service Training Programs

Team Noridian employees who will interact with the public on a regular basis will be given thorough customer service training because we recognize our employees are an investment in the success of the *hawk-i* program and the satisfaction of the customer. Staff will not only attend classes to prepare them for responding to questions specific to the *hawk-i* program, but will also receive training designed to develop and enhance customer service skills. Our customer service skills training course focuses on the experience of the individual placing a call to the customer service center. Staff will be trained to identify themselves by name when answering calls, how to recognize and appreciate the caller's experience, and to go above and beyond to provide prompt, accurate, and professional help to all callers. Our emphasis on the caller's experiences does not stop at training; evaluation of an ECSR's tone, friendliness, accuracy of information, and professionalism will all be incorporated into our quality monitoring procedures. ECSRs will also be trained, and subsequently evaluated, on their compliance with federal, local, and company privacy and confidentiality policies.

Team Noridian will provide education to ECSRs on all aspects of providing excellent service to customers. These courses are designed to ensure we treat our customers with the dignity and respect they deserve. All ECSRs will be taught to protect each customer's right to privacy and confidentiality. All Operations Phase employees, with the exception of the Mail Processors, will receive customer service skills training so they can assist, as needed, when workload dictates. Examples of these courses include the following:





Enrollment Customer Service Representative Quality Management

As discussed in detail in Section 4J (Quality Management), Team Noridian will implement a total Quality Management (QM) program to cover all functional areas of the **hawk-i** operation. As part of this effort, we will collect all performance measurements outlined in the Request for Proposal (RFP), along with internal measurements Team Noridian has developed through its years of customer service experience. These will be captured and reported through several means including automatic reports produced by the telephone system, our Measure, Monitor, and Enforce (MME) system, and through regular process reviews and monitoring. A sample of an MME report is in Section 4J (Quality Management). As described in that section, our management will lay out action plans, establish performance targets for staff, and continually analyze our progress to determine how results can be improved.

Within a structure of continuous improvement, we modify procedures, techniques, and staff roles on an ongoing basis to enhance productivity and effectiveness. We have internal performance improvement, quality management, and staff development capabilities we believe are unmatched

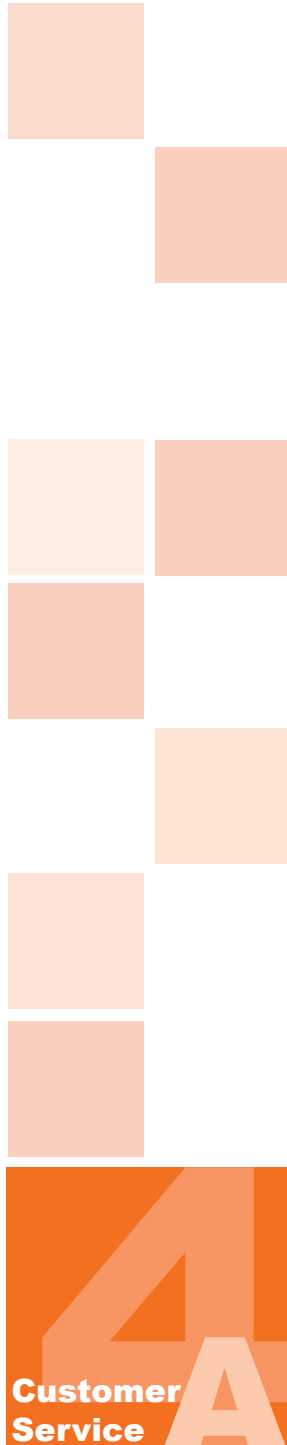
and will be highly regarded by the Department. We will use these resources to analyze performance and provide ongoing training as needed to improve the quality and quantity of work performed.

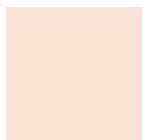
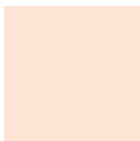
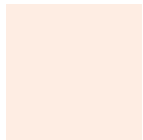
Team Noridian has Selected Experienced and Dedicated Staff to Meet the Staffing Requirements

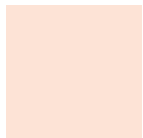
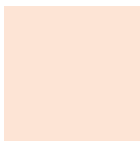
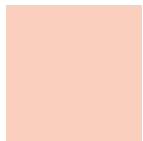
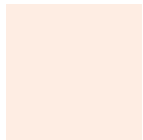
■ *Requirement 3A.2 – Staffing Requirements. The TPA shall employ and train a sufficient number of staff, including management, supervisory, quality assurance and support personnel, to maintain on-site customer service center operation, consistent with the requirements of this RFP. Customer service center staff shall have adequate work experience and expertise to perform all contract requirements. Customer service center staff shall include at least one supervisor who is responsible for overseeing the functions of the customer service center.*

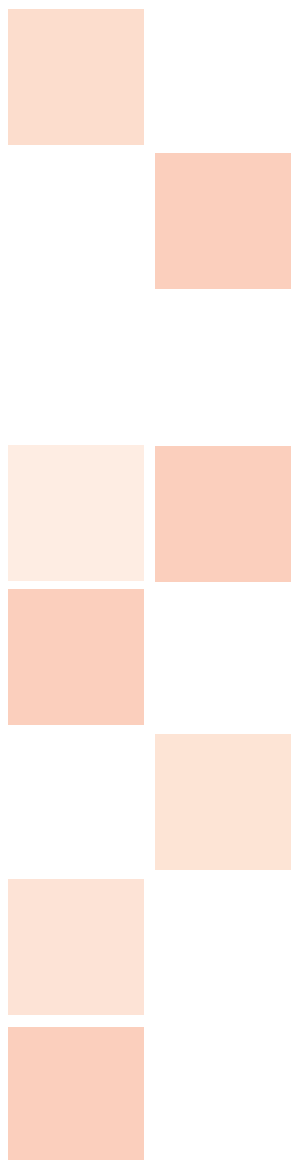
The proposal shall include a table of organization that names the project manager and identifies how the bidder proposes to structure the functions of the TPA and the number of staff that will be needed to perform each function. For example, the proposal shall clearly identify whether the personnel responsible for making eligibility determinations will also be responsible for call center activity (inbound and outbound calls, etc.). An updated table of organization shall be provided to the Department on a monthly basis identifying any staffing changes within that month. ■

Table of Organization



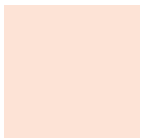
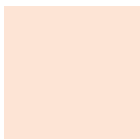
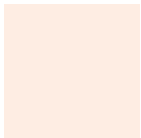






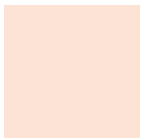
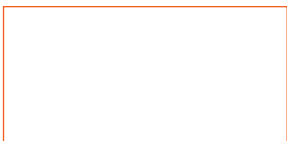
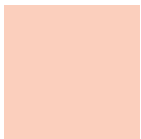
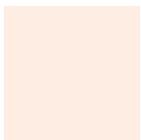
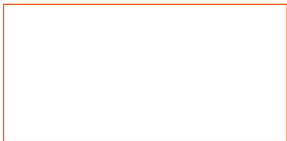
Staffing / Recruitment Approach





Team Noridian

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Team Noridian

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Hours of Operation

■ Requirement 3A.3 – Hours of Operation. At a minimum, the customer service center shall be staffed five (5) days per week, Monday through Friday, excluding State holidays, from 8:00 a.m. to 7:00 p.m., CST. The State holidays are:

New Years Day
 Martin Luther King, Jr.'s Birthday
 Memorial Day
 July 4th
 Labor Day
 Veterans Day
 Thanksgiving
 Day after Thanksgiving
 Christmas Day ■

Team Noridian's proposed organization for the customer service center is based on staffing the center to assure adequate coverage during peak call times. ECSRs will be available between the hours of 8 a.m. to 7 p.m., Central Standard Time, Monday through Friday to assist callers.

We will implement the Automated Call Distribution (ACD) software as we have for our other customer contact centers; this system offers metrics reporting and online viewing capabilities which allow supervisors and Quality Assurance staff to monitor service levels such as percentage of abandoned calls or number of seconds of wait time. If call trends change or if call volumes increase, staff will be shifted to cover the increased call volumes.

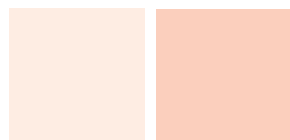
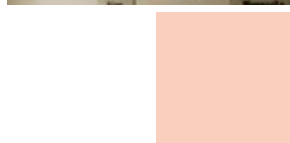
Call Type ID	Call Type Name	Offered Calls	Rcvd Calls	ASA Daily	In Queue AG	In Queue CT	Queue Long	Deflect ed	Aband Calls	Aband Pct
ROLLUP		1462	311	000:05:50	7	11	000:16:47	378	117	8%
67157	NAS EDI PS	42	32	000:05:31	0	0	000:00:00	0	10	24%
67158	NAS EDI OP	136	76	000:08:19	3	3	000:03:27	44	13	10%
67741	EDI HIPAA	437	185	000:05:01	3	3	000:02:15	219	30	7%
67159	NAS EDI EDI	19	18	000:04:10	1	1	000:08:35	0	0	0%
67731	EDI J3 IMPL	8	0	<N/A>	0	0	000:00:00	0	0	0%
64558	NAS EDI J3	303	0	<N/A>	0	2	000:02:17	11	29	10%
64559	NAS TITLE	517	0	<N/A>	0	2	000:00:13	104	35	7%

Figure 4-4A. ACD Reporting. Reports from the ACD system will be monitored regularly to determine trends and re-allocate workload if needed.

Figure 4-4A (ACD Reporting) provides sample data available from the phone system. This data was collected from a different type of business; the data content does not reflect expected performance for this type of business.

The Toll-free Telephone Line Will be Transferred to Our Existing Des Moines Facility

■ Requirement 3A.4 – Toll-free Telephone Line. The TPA shall be responsible for maintaining and operating a dedicated toll-free telephone line to provide general information about the **hawk-i** program and to assist applicants, Enrollees, and other callers as requested. The toll free number



currently in use for the **hawk-i** program, 1-800-257-8563, shall continue to be used. The TPA shall be responsible for any fees or expenses associated with the transfer of the toll free number from the Incumbent TPA to the TPA and to the Department upon termination of the Contract.

The TPA shall immediately notify the Department of any incident of telephone service downtime occurring during normal business hours as defined in Section 3A.3 Hours of Operation. For downtime occurring outside normal business hours, the TPA shall notify the Department at the beginning of the next business day. Monthly status reports shall include the date, time, number of minutes of duration, cause and resolution of each downtime incident. ■

Team Noridian operates multiple toll-free lines in support of its current business. We see no problem with transitioning the toll-free telephone number from the incumbent to our new place of business. Since we propose moving into a building in Des Moines, which currently houses a customer center, we possess the requisite relationships and infrastructure to quickly and efficiently manage this operation.

We will notify the Department of any telephone downtimes within the time frames noted in the requirements and will report on any downtime monthly. The monthly report will contain the data elements noted in the Department's requirement (above) and the cause and resolution of each incident.

Telephone System Requirements

■ *Requirement 3A.5 – Telephone System Requirements. The telephone system shall be programmed to provide recorded directions on its use to callers in English and in Spanish. The telephone system shall also be capable of handling the anticipated volume of inbound and outbound calls.* ■

Team Noridian's customer service center will support bilingual (English and Spanish) capabilities and the phone system will provide recorded directions on its use in both languages. Additionally, callers will be provided access to translation services. The telephone system will be sized to handle the anticipated number of calls, as interpreted through information provided during this proposal process. We will continually monitor our telephone system through all performance measurements to ensure our system meets all requirements.

All incoming and outgoing calls will be logged in the Q/Care system's Communications Log. Each Communications Log entry has two parts, an initiation record which shows who opened the record, when the event occurred, caller name, associated member number (when applicable), and who the log was routed to for resolution. The second part is the disposition record which shows the action that resolved the item, who closed it, and when it was closed. Figure 5-4A (Communications Log Sample Report) provides one of the reports that can be generated from the Communications Log. This particular report is a timeliness report showing the number of days it took to close Communications Log entries.



TeleTYpewriters Will be Used to Communicate with the Hearing Impaired

■ *Requirement 3A.5.1 – TDD Capability. The telephone line shall have access for a telecommunication device for persons who are deaf or hearing impaired (TDD). The current TDD number of 1-888-422-2319 shall continue to be used. The TPA shall be responsible for any fees or expenses associated with the transfer of the toll-free number from the Incumbent TPA and to the TPA and to the Department upon termination of the Contract.* ■

The ability to effectively communicate with our diverse community is a fundamental business practice. Noridian currently has three TeleTYpewriter (TTY) stations within the Provider Contact Centers for the deaf or hearing impaired, in accordance with Section 508 of the Rehabilitation Act of 1997 and the Workforce Investment Act of 1998. Noridian is experienced in the use of this device.

Team Noridian will continue the use of the Department's existing number and will take responsibility for all costs involved in the transfer of the toll-free number.

Translator Services Will be Provided Through Language Line

■ *Requirement 3A.5.2 – Translator Services. The telephone line shall have access to translator services when there is not a customer service representative available who speaks the caller's language. These requirements may be met through an arrangement with a contracted service such as AT&T Language Center. Translator services shall be available during the customer service center's operating hours and shall be initiated via conference call capability so that callers will not have to hang up and redial in order to access these services.* ■

Team Noridian will provide multilingual services for callers with a language other than English as their preferred language. We will staff our customer service center with bi-lingual (English and Spanish) ECSR. To support other language preferences, we intend to use Language Line, a nationally recognized service offering interpretation and translation services for telephone and documentation support. Language Line offers access to representatives interpreting over 170 languages.

Every ECSR will be trained and have access to Team Noridian's Language Line translation service. When a person calls who wishes to converse in a language other than English or Spanish, our ECSR will use the Language Line translation service. With the interpreter on the line, the ECSR will transfer the caller into a three-way conference call, and the interpreter will translate the conversation between the caller and the ECSR. We have enjoyed great success with this service and experience little or no wait time engaging the appropriate interpreter.



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The Language Line translation service is available 24 hours per day, seven days per week; consequently, we will always have access to competent interpreters to support customers requiring translation services. We will have the appropriate Business Associate Agreements in place to protect confidentiality of the data.

Voice Mail Will be Regularly Monitored and Answered Promptly

■ *Requirement 3A.5.3 – Voice Mail. The telephone system shall have voice mailbox capability to ensure that callers have the ability to request applications and leave messages with a specific customer service representative as necessary.* ■

Team Noridian will establish a general voicemail box in which customers will be able to leave messages as well as have the option of leaving messages for specific ECSRs. Our commitment to timely and accurate customer service will assure customers having left voicemail messages will be assisted quickly and with the same professionalism enjoyed when reaching an ECSR directly. All callbacks will be logged in our call logging system so this exchange becomes part of the customer's case file and is available for review when offering assistance on another matter.

As part of our QM program, Team Noridian will also monitor and document voicemail response time to ensure we meet the requirements of the RFP set forth in 3A.5.5 (*Telephone System Performance Measures*).

ACD Software Will be Configured to Support All Telephone Service Functions

■ *Requirement 3A.5.4 – ACD System or Similar Telephone System. The TPA shall use an automated call distributor ("ACD") system or similar telephone system on the toll-free customer services line. The TPA shall ensure that the telephone system(s) has the ability to:*

- *Effectively manage all calls received by the ACD;*
- *Assign incoming calls to available customer service representatives; and*
- *Provide greeting and educational messages (in English and Spanish) approved by the Department while callers are on hold. The TPA shall develop the message for the Department's approval. The Department may request to have the messages changed one (1) time per month at no additional cost. Costs for more frequent message will be negotiated and mutually agreed to by the Department and the TPA.*

At a minimum, the telephone system shall record and aggregate the:

- *Number of incoming calls;*
- *Number of calls routed to the general voice mail box during operating hours;*
- *Number of calls routed to the voice mail box during hours when the customer service center is closed;*
- *Number of answered calls;*
- *Average number of calls answered;*
- *Average speed to answer after the call clears the ACD and is in queue;*
- *Average talk time;*
- *Number and percentage of calls answered in less than sixty (60) seconds;*

**Customer
Service**

- Number and percentage of calls placed on hold and the average length of hold times;
- Number and percentage of abandoned calls, length of time until each call is abandoned and the call abandonment rate; and
- Number of outbound calls made. ■

Team Noridian currently uses ACD software to support many large local and remote customer service centers. We propose using the same software for operation of the **hawk-i** customer service center. Our many years of experience in implementing ACD operations will allow us to quickly and efficiently configure the operation to support all ECSRs, voicemail, reporting, and to conduct performance monitoring.

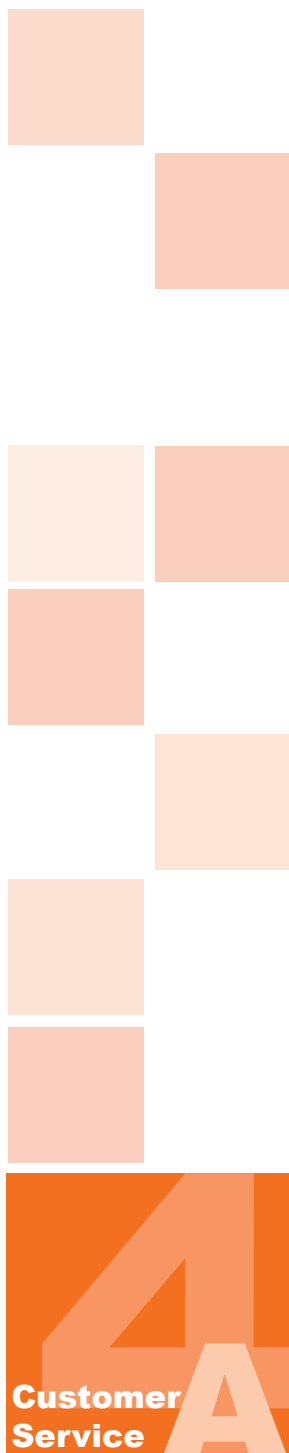
The customer service center Team Leader and the Quality Analysts have access to customer service center performance statistics in real time. This access allows management to bring in additional resources at peak call times as well as monitor trends that may impact the overall staffing model. Reporting for all Department required statistics is available and reports are generated daily beginning immediately after implementation to assure the appropriate complement of staff are available to support customer inquiries.

As described previously in this section, Team Noridian will implement call logging through an application in Q/Care called Communications Log. This will provide tracking of timeliness of returned calls, percentage of calls answered on first contact, and other vital statistics in addition to monitoring availability through the telephone system.

Team Noridian Will Ensure all Telephone Service Performance Measures are Met Through Our QM Approach

- Requirement 3A.5.5 – Telephone System Performance Measures. At a minimum, the TPA shall:
 - Maintain an average waiting time of less than sixty (60) seconds after the call clears the ACD and is in queue for ninety-five (95) percent of the calls. The Department may deduct from the monthly invoice payment an amount of one thousand dollars (\$1,000) per month for failing to maintain an average waiting time of less than sixty (60) seconds for ninety (90) percent of calls.
 - Maintain a call abandonment rate of five (5) percent or less. The Department may deduct from the monthly invoice payment an amount of one thousand dollars (\$1,000) per month for failing to maintain a call abandonment rate of five (5) percent or less.
 - Maintain a wait service level to ensure that a busy signal/blockage rate is less than five (5) percent. The Department may deduct from the monthly invoice payment an amount of one thousand dollars (\$1,000) per month for failing to return ninety-eight (98) percent of all voice mail messages no later than 11:00 a.m. the next business day or 4:30 p.m. the next business day after a State Holiday.
 - Return ninety-eight (98) percent all voice mail messages no later than 11:00 a.m. the next business day or at the time specified by the caller. For the workday following a state holiday, voice mail messages must be returned by 4:30 p.m. Central Time that day. The TPA shall make at least three (3) attempts to return all voice mail messages. As amended in Amendment One, the Department may deduct from the monthly invoice payment an amount of one thousand dollars (\$1,000) per month for failing to return ninety-eight (98) percent of all voice mail messages no later than 11:00 a.m. the next business day or 4:30 p.m. the next business day after a State Holiday.

The amount of any deduction is not recoverable. ■



Team Noridian will use real-time monitoring of performance in combination with daily and weekly reports to ensure all performance measures outlined in this RFP requirement are met. We will use our MME system, which is described in Section 4J (Quality Management) to develop and report on Department required and internal Team Noridian performance measures. We will also use statistics gathered through our telephone system reporting mechanisms and call quality monitoring as part of our overall QM approach.

It has always been our practice to perform call quality monitoring of ECSRs while they are speaking to customers on the telephone. This type of monitoring allows review and assessment of the ECSRs tone, friendliness, and competence in responding to customer inquiries.

The Use of a Central Facsimile Service Eliminates Memory or Capacity Issues and Ensures Privacy

■ *Requirement 3A.6 – Facsimile (FAX) Line. The TPA shall maintain a facsimile (FAX) line that is available twenty-four (24) hours a day, seven (7) days per week. The number currently in use for the FAX line, 515-457-7701, shall continue to be used. The TPA shall be responsible for any fees or expenses associated with the transfer of the number from the Incumbent TPA to the TPA and to the Department upon termination of the Contract.*

The TPA shall also have a toll-free fax line available twenty-four (24) hours a day, seven (7) days per week.

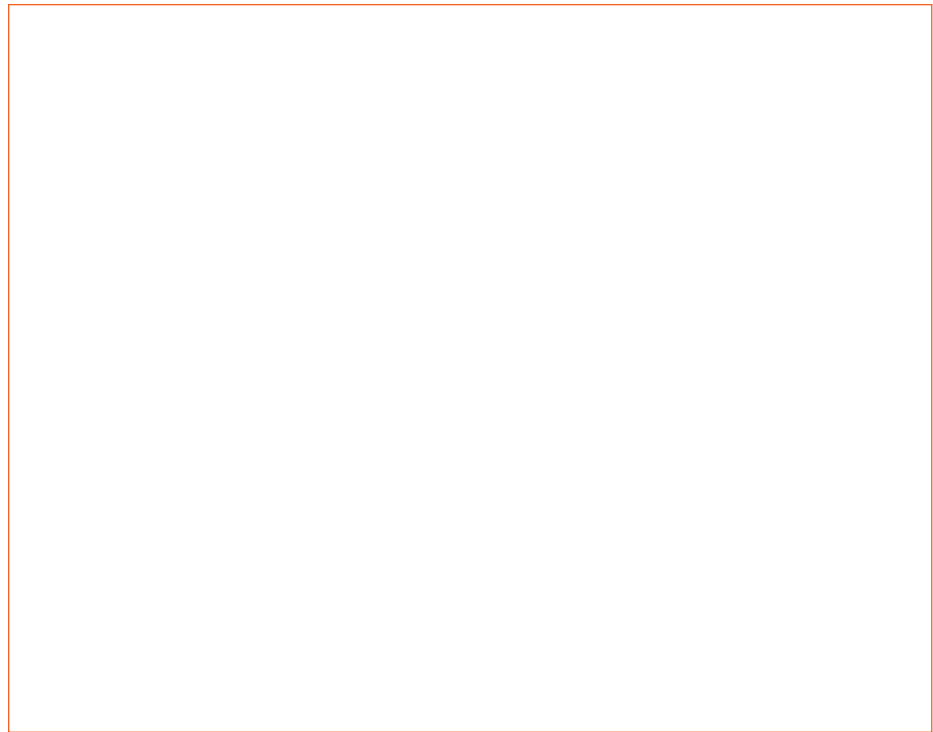
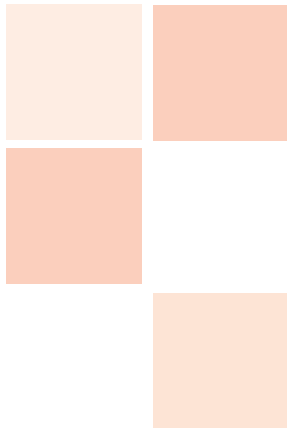
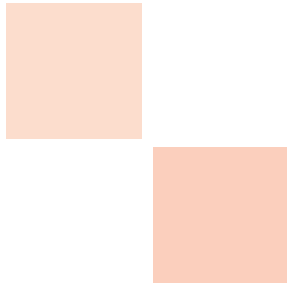
The TPA shall have sufficient FAX server capacity to receive all incoming documents, including but not limited to, applications and supporting documents. The proposal shall describe the logging process for documentation received, the logging of any FAX-related issues or concerns, and the monitoring of FAX activity along with memory capability. ■

Team Noridian currently maintains multiple facsimile (FAX) lines, which are available 24 hours a day, seven days a week. Team Noridian will use the same centralized fax service we currently use with a toll free number specific to the **hawk-i** program, as well as forward the current line (515-457-7701) to this service.

**Customer
Service**

This will allow Team Noridian to quickly prescreen the faxes for required information (on applications), and log them with appropriate index values. Figure 6-4A

(FAX Interface with OnBase) shows an image of a FAXed document routed through the EDMS workflow.



The OnBase system provides the ability to configure automatic notifications to user(s) that a FAX has arrived within the workflow. This is particularly helpful when someone has been waiting for additional documentation to process an application. They would then receive a notice that a FAX has been received for that application.

When supporting information for an application is received via FAX, it will be identified, logged, and attached to the electronic case file for processing. An automated notification will alert the requestor that additional information has arrived and to continue processing the application. If supporting information is received that is not requested, it will be attached to the case file and routed to a workflow queue to be researched by the ECSR staff. Any FAXes received for the Department will be logged and then routed to the Department via their preferred method.

We will implement these processes for the *hawk-i* project to ensure all incoming faxes are received and distributed timely. On a monthly average, Team Noridian sends and receives over 147,000 FAXed pages for its

existing business contracts so we feel well-equipped to handle the number of FAXes expected for this project. As previously stated, using the centralized service eliminates concerns about memory and capacity since storage and transmission bandwidth is virtually unlimited.

The FAX line will be available 24 hours a day, seven days a week.

We Will Maintain the *hawk-i* Web Site and Work With the Department to Enhance Its Functionality

Web Site Features will include:

- Online Applications
- Renewal Option
- Downloaded Forms
- Links to applicable sites
- Program information
- Board meetings – agendas/minutes
- Premium Payment (future functions)

■ *Requirement 3A.7 – Maintain a Web Site. The TPA shall maintain and update as necessary, or as directed by the Department, a Web site about the **hawk-i** program. The purpose of the Web site shall be to promote the availability of the program, educate the public regarding changes in policies, participating Health and Dental Plans, benefits and other events related to the program, and dissemination of statistical information.*

The Web site shall, at a minimum, be accessible in English, Spanish, and other languages as determined by the Department.

At a minimum, the Web site shall include the following:

- *Web-based application for completion online;*
- *A Web-based renewal system;*
- *An application and renewal form that can be downloaded and printed;*
- *A link through which schools may refer families whose children participate in the Free and Reduced Meals Program;*
- *General program information;*
- *Agendas and minutes of **hawk-i** Board meetings;*
- *Participating Health and Dental Plan information. This includes, but is not limited to, the services provided and the counties of the state in which the various Health and Dental Plans are participating and links to participating Health and Dental Plan's Web sites;*
- *Demographic and statistical data as directed by the Department; and*
- *Other information and links as determined by the Department.*

*The current Web site address of www.hawk-i.org shall be maintained for the **hawk-i** program. The site content and application programs and the Universal Resource Locator used by the TPA for the programs are owned exclusively by the State and shall remain the property of the State.*

The TPA shall be responsible for any fees or expenses associated with the transfer of the Web site domain from MAXIMUS to the TPA and to the Department at the termination of the contract. The Web site shall be registered on the most popular Web search engines. The TPA shall use a contractor server hosting, with the TPA functioning as Webmaster and Web host. ■

Team Noridian will take over and enhance the existing **hawk-i** Web site address and functionality. We have assessed the features presently available to families, schools, and other stakeholders and are prepared to offer this functionality in addition to new functionality requested by the Department through this RFP. Web site information will be provided in English and Spanish to accommodate the greatest number of customers. We understand we will be responsible for any fees associated with the transfer, and we will register the Web site with the most popular search engines.

**Customer
Service**

Team Noridian has experienced and knowledgeable staff that will support implementation and ongoing maintenance of the Web site. Additionally, we will have staff present in the Des Moines operation to perform routine updates such as posting of board meeting minutes and other similar information. The Web site will be integrated with our EDMS. As a result, all new applications and renewal requests received via the Web site will automatically be pulled into workflow. This will provide monitoring and tracking capabilities to assure timely processing.

We are prepared to also offer the ability for customers to pay premiums via the Web site using a credit card or automatic withdrawal. We will work with the Department during the Transition Phase to establish in-depth requirements consistent with the Department's expectations. As most credit card processing services assess transaction fees, we will engage the Department to determine the solution which best meets the needs of the customers and the Department.

Conclusion – We are Ready to Provide Excellent Customer Service

As we said before, our many years of experience operating customer contact centers have taught us that first impressions are usually lasting impressions. The customer service center staff often represents the first contact a family has with a program such as *hawk-i*. A caller's positive interaction with a customer service representative could very well be the decisive factor about whether to participate in the *hawk-i* program. We share the Department's goals of protecting Iowa's children through increased *hawk-i* enrollment and so will implement a customer service center with the protection of each child's welfare as the primary goal. Team Noridian is ready to work with the Department to implement the *hawk-i* Customer Service Center. We believe we offer unparalleled experience, skills, and technology in this critical function and we are committed to bringing all of this to the *hawk-i* project.



Customer
Service

**Application
Processing
and Eligibility
Determination**

**Application
Processing
and Eligibility
Determination**

Application Processing and Eligibility Determination

Team Noridian ADVANTAGE

- Detailed documentation is used to assure consistency and accuracy in processing
- Automation is built into the process to reduce errors caused by manual efforts
- Status reports are available on demand to provide accurate and up-to-date workload inventory summaries

Enrollment in the Healthy and Well Kids in Iowa (**hawk-i**) program marks the beginning of the receipt of much needed healthcare and dental services for eligible children. Team Noridian realizes how critical it is to enroll these children quickly and accurately to alleviate the stressors that come with inadequate resources for healthcare and dental coverage. Consequently, our operation will provide optimum service to these children and their families through excellence in customer service that is supported by systems fully capable of managing initial enrollment, ongoing enrollment, reporting, and correspondence exchange.

Applications Are Processed With Focus on Quality

■ *Requirement 3B.1 – Application Processing. The TPA shall process all applications, including renewal applications, in accordance with Chapter 514I of the Code of Iowa, Iowa Administrative Code Section 441, Chapter 86 (See <http://www.dhs.state.ia.us/policyanalysis/RulesPages/RulesChap.htm>), and written policy clarifications provided by the Department.* ■

Team Noridian has decades of experience enrolling members in most types of health plans and will draw upon that experience to build our application processing operation for the **hawk-i** program. We have reviewed Chapter 514I of the Code of Iowa, Iowa Administrative Code Section 441, Chapter 86 and will review all other applicable policies provided by the Department to assure our application processing operation is in compliance with all regulations.

Application Receipt Processing is Managed Through Our Electronic Document Management System

■ *Requirement 3B.1.1 – Receiving Applications. The TPA shall have the capability to process initial applications and renewals that are filed either in a paper or in an electronic format. This includes:*

- Paper applications filed directly with the TPA;
- Electronic applications filed directly with the TPA via the Internet;
- Paper referrals from the local DHS county office; and
- Electronic referrals from the local DHS county office through the Department's IABC eligibility system. ■

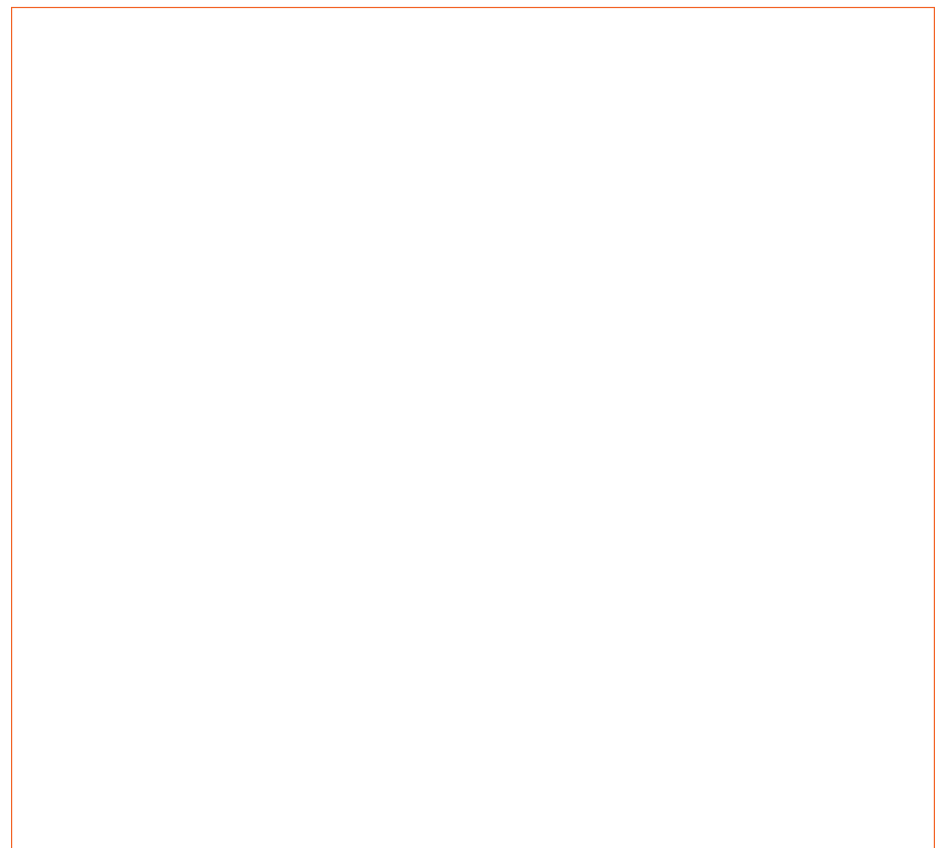
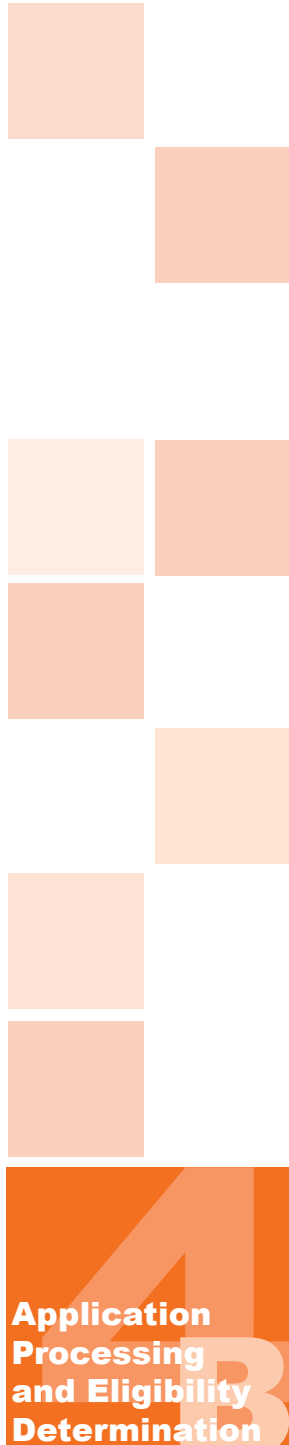
In our current lines of business, Noridian manages the receipt of literally hundreds of thousands of pieces of healthcare-related documentation sent by mail, facsimile, electronic mail, Web site, and electronic file transfers. We have configured our Electronic Document Management System (EDMS) OnBase solution for multiple types of business supporting hundreds of document types to properly handle correspondence, and we will develop these same types of processes to handle all **hawk-i** applications and renewal requests.

For example, in our Iowa Medicaid Enterprise (IME) Operation, Noridian is responsible for receipt, control and distribution of all incoming mail

Application Processing and Eligibility Determination

and other correspondence. All incoming mail and correspondence is imaged and stored in the OnBase document repository. OnBase workflows then route the documents to the appropriate team members within the IME, including the provider and member enrollment areas. Our OnBase team configures workflows in accordance with the IME's requirements and processing guidelines.

We will use the same type of operating procedures for the *hawk-i* program. Regardless of the method of receipt, we will store all initial applications and renewals in OnBase. As the paper applications and renewal documents are scanned, indexed, and dated, and as electronic applications are received, the images and data are stored in OnBase. The images and data will quickly move electronically through OnBase's processing workflows, which we will develop to manage the receipt and processing of healthcare-related information based on the Department rules and policies. Received applications and renewals then will enter the Q/Care eligibility system, which will be used to track each application through the stages of processing. Figure 1-4B (Application Processing Flow) provides a summary of how applications received from multiple sources will be managed.



During the Transition Phase, Team Noridian will work with the Iowa Department of Human Services (Department) to define the format for receiving the referrals from the Iowa Automated Benefit Calculation eligibility system.

Date Stamping of Documents is Routine in Our Existing Environments

■ *Requirement 3B.1.2 – Date of Receipt. The TPA shall date-stamp all paper applications and renewals and record the date of receipt on applications received electronically to document the date the application was filed. The date of receipt is the date by which application-processing standards are applied.* ■

Team Noridian receives a huge amount of mail daily in support of our current lines of business, so our established mailroom procedures can be relied upon to support the **hawk-i** program. All information received in paper form is controlled and opened in a designated area. This area has proper security lockdowns and video camera surveillance to assure all materials are protected and nothing is mishandled. While being scanned, each page is imprinted with a unique document control number that includes the date of receipt. This imprinted control number is carried with the document through OnBase to allow auditing, performance monitoring, and escalation of date-sensitive materials. Documents that arrive electronically are also tagged with the receipt date when they enter OnBase. The date of receipt will also be transmitted into Q/Care for processing of the application or renewal.

Application Tracking is Available Through OnBase and Q/Care Interfaces

■ *Requirement 3B.1.3 – Tracking Applications. The proposal shall describe the process by which the TPA will track the receipt, status, and disposition of all applications received. This includes the process for data entering paper applications and renewals and the transfer of data from the electronic application, renewal or referral into the TPA's system.*

At a minimum, the system shall have the ability to identify and track applications and renewals by the following elements:

- *Date received;*
- *Name of applicant and each person in the family;*
- *A unique case or family number;*
- *A unique identifier for each individual;*
- *Date referred to Medicaid; and*
- *Date received back from Medicaid.*

*Additionally, the proposal shall describe the process by which information received initially or subsequently, either in paper, FAX, or electronic format is identified, tracked and retained. The proposal shall also describe the process by which duplicate and potentially duplicate applications will be identified and processed. This includes applications that have been referred to Medicaid as well as those that are being processed for **hawk-i** program eligibility. Refer to Section 3G System Requirements for additional requirements.* ■

After mail is opened, sorted and prepared, the paper applications are scanned. The images are reviewed during the scanning process to ensure legibility of the documents as well as to make certain all pages are scanned properly. The documents are loaded into the OnBase system and are automatically assigned index values (keywords) containing the type of document and the unique document control number which includes the date of receipt. In a similar manner, facsimiles automatically enter OnBase and are indexed by staff to indicate the document type.

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All images are inspected by staff to assign additional keyword values containing the information on the application or renewal. Keyword values are added for pertinent information such as applicant name and related identifiers including enrollee identification number and family case number. We assign the same case number to all subsequent documents associated with a case. Therefore, when employees or the Department search for that case number, they'll have all documents related to that case at their fingertips. We will be able to track and review documents containing nearly identical identifiers to determine if we have duplicates of material received previously.

After the documents have been scanned, they will be imported into OnBase for storage and workflow distribution. Quality assurance checks will be conducted within this process to ensure the appropriate steps are completed in accordance to written procedures.

For documents received through the Web site, field values from the form will automatically be added as keyword values to the electronic document stored within OnBase. Similarly, electronic referrals that come in a file from another system will be brought into OnBase and index values from that system will be automatically populated to the new electronic document.

Our Index Values Will Include:

- Date received
- Name of applicant
- Unique case or family number
- Unique identifier for each individual
- Date referred to Medicaid
- Date received back from Medicaid

OnBase workflow is a configurable solution that allows organizations to decrease processing time while increasing staff productivity and accuracy through efficient routing of processes, tasks, or electronic documents. In addition, because OnBase has a rich set of rules and actions, these benefits can be achieved without custom programming.

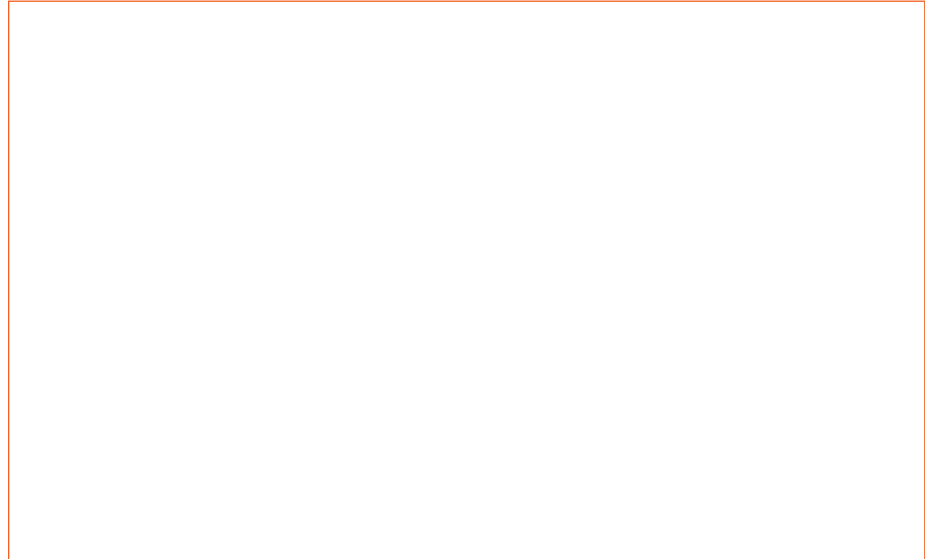
Besides increased efficiencies and accuracy, OnBase workflow supports Team Noridian's internal controls. Because OnBase automatically routes documents through the correct workflow queues, consistent processes are inherently enforced and the risk associated with process variance is greatly reduced. As documents move through workflow queues, OnBase provides detailed audit trails, making it easy for management to monitor employee activity and track the progress of any application or renewal throughout the entire process.

Q/Care will be used in conjunction with OnBase for tracking the status of an application or renewal. Index values are assigned to an application or renewal and the initial prescreen is completed. The Q/Care member (enrollee) subsystem contains the enrollees' name, date of birth, and demographic information along with complete eligibility information and other required information.

When a new application is received and entered into Q/Care, a unique identification number is created for that enrollee. A case number is generated for each family which is different than the identification number. An enrollee may move to a different case number but will retain the original identification number. Active and inactive enrollees are maintained in Q/Care for easy online access. Over 300 edits are included in the member/enrollee subsystem which assures we appropriately apply all *hawk-i* program and Department policies when processing enrollment

Application Processing and Eligibility Determination

applications. Figure 2-4B (Member Demographics Inquiry) provides a sample screen from the Q/Care member eligibility subsystem. The member/enrollee subsystem is fully integrated with all other subsystems within Q/Care supporting the *hawk-i* including the Communications Log, Correspondence System, and Financial Systems.



Q/Care will provide the exact status (in-process, denied, compete) of each application or renewal within the system. Further, Q/Care will indicate if the application was missing additional information, indicate if a letter had been generated to the family, or even referred to Medicaid for possible eligibility determination. During any stage of the application process a user can view the image, supporting documentation or letters related to that particular case with the click of the mouse. Reports can be produced in OnBase, Q/Care, or through our ad hoc Decision Support System, discussed in Section 4G (Systems Requirements), to provide an immediate picture of workload inventories.

As applications are uploaded to the Q/Care, system edits compare key elements from the application against the history of enrollees in the Q/Care system. Suspected duplicate application information is not entered into Q/Care. Rather, a report is generated indicating the presence of duplicate information. This report is reconciled daily to determine if the application was in fact a duplicate and appropriate action is taken. The Enrollee Customer Service Representatives (ECSRs) will research those potential duplicates. If the ECSR determines that the application is a duplicate, the ECSR will contact the enrollee representative by telephone (or by letter if an attempt by telephone is unsuccessful) to discuss and resolve the situation.

Application Processing and Eligibility Determination

Assistance With the Application Process Will be Provided by Enrollment Customer Service Representatives

■ *Requirement 3B.1.4 – Application Assistance. The TPA shall have a process in place by which application assistance can be provided over the telephone. When a family needs assistance in completing an application, the TPA shall enter provided information into the system on behalf of the caller. A printed copy of the completed application form shall be sent to the applicant for verification of the information and signature no later than the next business day. The application shall be accompanied by a letter in the applicant's preferred language (English or Spanish) requesting any necessary verification with a postage-paid, business reply envelope.* ■

When we receive a call for application assistance, our ECSRs will walk the caller through the steps to accurately complete the applications either online or on paper depending on the caller's preference. We will provide application assistance in English or Spanish through either our bi-lingual staff member or the Language Line described in Section 4A (Customer Service). All communications with the enrollee's caregiver will be logged into our Q/Care Communications Log for tracking. This log will house all incoming and outgoing call information and track the resolution of each call.

When needed and to help facilitate application processing, ECSRs will enter application information directly into the system for an applicant and/or an applicant's caregiver. An application with the recorded information will then be printed and mailed to the applicant by the end of the next business day for verification of the information and the required signature. The application will contain a pre-printed barcode on the bottom. This barcode will contain the index values that have been assigned so that the system can automatically capture those values upon the application's return by reading the barcode. The use of bar-coding provides additional levels of quality assurance as new information is automatically tied to the original application. We will write this letter in English or Spanish, depending on the applicant's preference and enclose a postage-paid, business reply envelope.

Application Tracking

- In process, denied, complete
- Missing Information – letter requested
- Referred to Medicaid

We Assure Eligibility Determinations are Made Accurately

■ *Requirement 3B.2 - Determining Eligibility. The TPA is responsible for correct and accurate eligibility determinations. Eligibility shall be determined in accordance with Chapter 514I of the Code of Iowa, Iowa Administrative Code Section 441, Chapter 86, and written policy clarifications provided by the Department.* ■

Team Noridian ECSRs will review incoming applications and renewal requests to determine the eligibility of the prospective enrollee in accordance with Chapter 514I of the Code Of Iowa, Iowa Administrative Code Section 441, Chapter 86. All steps needed to make eligibility determinations will be fully detailed via the process documents which Team Noridian's uses to define every step within every business function. The process documents are part of our internal controls program and are further described in Section 4J (Quality Management) and 4H (Training). The steps and guidelines in the process document will also be built into our OnBase workflow.

Application Processing and Eligibility Determination

As part of our Quality Management Program, Quality Analysts and Team Leaders will perform quality process reviews on the work conducted by the ECSR's. A sample of their work will be reviewed on a regular basis to ensure completion in accordance with Department regulations and resulting reports will be provided to management. Edits built into the Q/Care system will assist the ECSR's by prompting the staff to check for additional or missing information.

The Medicaid Eligibility Screening Uses Automation to Improve the Process

■ *Requirement 3B.2.1 – Screening for Medicaid Eligibility. The TPA shall screen all applications and renewals for potential Medicaid eligibility within twenty-four (24) hours of receipt. The screening includes conducting a match of all applicants to the Medicaid eligibility file in order to identify any applicants who are currently covered under the state's Medicaid program and performing a cursory Medicaid eligibility determination based on the information provided on the application. The elements considered in the screening shall include, but may not be limited to:*

- Household size
- Income
- Child care costs
- Child support paid

All applications and renewals that appear to be Medicaid eligible based on the information provided on the application shall be referred to the Department. The TPA shall make a copy of the application for the TPA's file and refer the original application or renewal to the Department. The TPA shall keep a daily log of applications sent to the Department and track the disposition of referred applications in accordance with the provisions of Section 3B.1.3 Tracking Applications. Refer to Section 3G.6 Medicaid Screening for additional system requirements. ■

After we process the information as described earlier, we will screen all new **hawk-i** applications to determine if the applicant is already covered, or could be covered by the Medicaid program. The Medicaid eligibility match and the initial Medicaid screening will be performed within 24 hours of receipt of the application.

The screening process will begin with an automated comparison of information on the application to the Medicaid eligibility file. This comparison will be made using household size, income, child care costs, child support paid, and other data elements found to be most appropriate during the requirements gathering tasks.

If the comparison of the application to the Medicaid eligibility file results in a match, the ECSR will research the applicant and his or her family information to make a final determination. If the ECSR determines that the applicant is enrolled in Medicaid, the ECSR will refer the case to the Department for further resolution. If a match is not found on the Medicaid eligibility file, the ECSR will determine if the enrollee is eligible for **hawk-i**.

To determine eligibility for Medicaid, our ECSR's will use a checklist and associated work tasks which will be described in our process documents to guide them through each step in the screening process. We will also build this checklist and work tasks into OnBase workflow queues during the Requirements Analysis and Validation task. As our ECSR's complete

the screening, they will update the checklist with their findings so that individuals later reviewing the same case file can readily see the decisions made at the time of initial screening. If an ECSR determines that an applicant appears to be eligible for Medicaid, the applicant's original application will be referred to the Department and the applicant will be notified. Team Noridian may offer the Department the ability to receive the application referral requests through OnBase for ease of retrieval by the Department staff. This could allow for quicker processing and less risk of misplacing or damaging an application.

Automation is Used to Ensure Applications are Processed Timely

■ *Requirement 3B.2.2 – Time Frame for Establishing Eligibility. An eligibility determination shall be made as soon as possible and within ten (10) business days from the date of receipt of the complete application or renewal or the date of receipt of all information necessary to establish eligibility.*

*When the **hawk-i** application or renewal is referred to the Department for a Medicaid eligibility determination and Medicaid eligibility is denied, the TPA shall determine **hawk-i** eligibility as soon as possible and no later than ten (10) business days from the date of the notice of the Medicaid denial.*

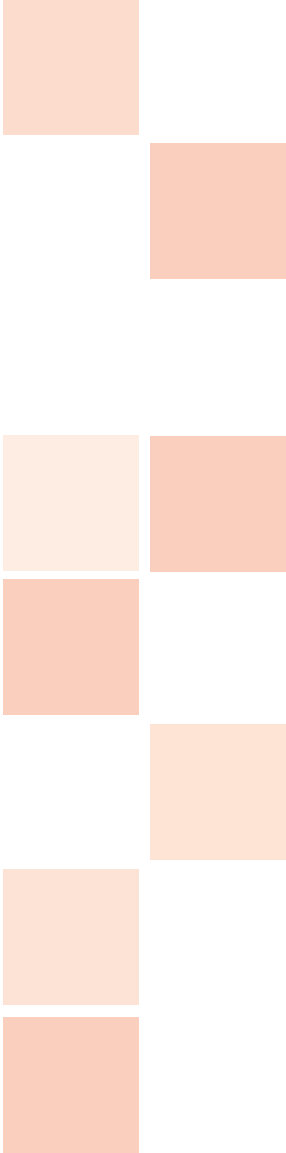
Performance Measure: *The Department may deduct from the monthly invoice an amount of two thousand dollars (\$2,000) per month for failing to process at least ninety-seven (97) percent of all applications and renewals in established timeframes. This is not recoverable. ■*

By using OnBase's automated checks and balances abilities, we will make sure that we meet customer and Department expectations for timely application processing and eligibility determination. Management will monitor and manage workflow queues by viewing queue counts, setting system parameters to create automatic alerts, and running system reports. If needed, management will intervene to reassign workload to others.

Management will be able to quickly reassign documents in a workflow from the originally assigned ECSR to a new ECSR. This feature keeps documents moving when an employee is out of the office unexpectedly or workload needs to be re-distributed. When a document is reassigned, management will add an electronic note to the document explaining the reason for reassignment.

Because OnBase logs workflow activity information such as workflow queue location, the name of the user who placed the document in the

queue, and the creation date, management can easily audit employee activities. This information is available for those with security rights to this audit log information at any time through the OnBase application. The audit log information will be used to generate reports, graphs, charts, and statistics surrounding *hawk-i* workload (i.e., number of documents in a queue, number of days in a queue, and average processing time).



As work in a queue is completed, the document image will be automatically routed through additional queues as needed to make up an entire work process or business process. For work that is time-sensitive, the system's process timers will dictate that the work in a particular queue be performed at user-defined intervals or pre-set times. As we mentioned earlier in this section, timers allow for notifications to be sent to appropriate people to expedite aging inventory to staff members. By using timers, we can maintain performance standards by automatically escalating work or sending alerts when timeliness expectations are in jeopardy.

Team Noridian understands that eligibility determinations must be made within 10 business days of receipt of the application (or receipt of additional requested information) and within 10 business days of notification from the Department that Medicaid eligibility has been denied. Reports will be created to show completion statistics along with monitoring reports that will show the oldest document pending.

An end of line quality assurance check will also be performed. OnBase will be configured to set up samples of all work completed to be reviewed by our Quality Analysts for accuracy. The percentage of work to sample can be adjusted as needed. A best practice we've discovered is to review a high percent of new employees and as they become more proficient to reduce that percentage. As we discuss in Section 4J (Quality Management), all timeliness, performance, and quality measurements provided in this Request for Proposal (RFP) or developed by Team Noridian will be included in our Measure, Monitor, and Enforce (MME) process. As also described in that section, we use the MME process to measure and report on individual and team performance. The MME process is an important component of our total Quality Management Program (QMP).

Letters are Generated Requesting Additional Information for Incomplete Applications

■ *Requirement 3B.2.3 – Requesting Additional Information. The TPA shall review the application or renewal for completeness and the presence of required verification. Additional information necessary to establish eligibility shall be requested in writing as soon as possible and within three (3) business days of receiving the application. The request shall be made in the applicant's preferred language (English or Spanish) as identified on the application form or renewal. Every attempt shall be made to identify all additional information so that all additional*

information known at the time of the request shall be requested in the same letter. For example, if an application is missing both a signature and proof of income, the letter requesting the additional information shall include both items. The letter should clearly state what information is needed (e.g. the applicant needs to send other pay stub listing the date of the pay stub needed, proof of unearned income, citizen status, etc.). ■

The Q/Care system has a Correspondence System that will be used to generate outgoing letters to the family for missing information. Team Noridian will work with the Department during the Transition Phase to establish the format of the letter.

The Q/Care Correspondence System houses and tracks all letter templates. Q/Care will automatically populate demographic variables in each letter using the enrollee's application information on file. When a letter is sent out an electronic note is made on the enrollee's file to age and track receipt of the response. Alerts are built, based on the aging parameters, to assure that responses are received and to signal the system to send a follow-up reminder letter. When the response is received it is electronically tied to the original letter in the Correspondence System so that the system will recognize the request has been closed.

As the outbound letter is created, and values are populated, a barcode is added at the bottom of the letter. This contains information identifying the letter so that when it comes back from the family, it can easily be attached to the original application in OnBase. This will help build the "case file" and also expedites the review of the letter as it'll be systematically identified as containing follow-up information to an original application. Also, the outbound letter will be stored in OnBase so that if it needs to be reprinted or reviewed it is easily accessible.

The document templates will contain attributes including a form name, form number, business area owner, contact name, last revision date, the letterhead type used (if applicable), and whether a signature is present on the document. We will control form inventory through a check-in and check-out system, which makes sure that only one authorized person can update a form at one time.

Team Noridian will make sure that we send requests for additional information to applicants within three business days of application receipt. All information requests will be combined into one letter and the letter will be sent using the preferred language (English or Spanish) indicated on the application.

Performing a Daily Insurance Data Match

■ Requirement 3B.2.4 – Daily Insurance Data Match. The TPA shall send a file of all **hawk-i** applicants to the Department or the Department's designee on a daily basis. The data and format of the file shall be agreed upon by both parties. The Department or the designee shall perform a data match with other insurance carriers to determine if the applicant is covered under another health insurance plan. The Department or designee will return the file within two (2) working days with the results of the match. If a match is present, the TPA shall send a notice to the **hawk-i** applicant asking for the status of the identified health insurance coverage (policy has lapsed, been cancelled, ending, still active, etc.). ■

During the Transition Phase, Team Noridian will work with the Department to configure and test the data and format for the Daily Insurance Data

Match process. The Systems Manager will oversee the development of a process within the daily job schedule to send a file of all **hawk-i** applicants to the Department or its designee. When we receive the results of the match from the Department or its designee, we will send a letter to any applicants potentially covered under another health insurance plan to request the status of their other health insurance policy. We will develop the template for this letter during the Requirements and Analysis task.

All Information Used to Determine Eligibility Will be Electronically Attached to the Application

■ *Requirement 3B.2.5 – Documenting the Eligibility Decision. The TPA shall fully document the basis of the eligibility decision. Documentation may be retained in either electronic or paper format and shall be readable and easily retrievable. If retained electronically, documents shall be easily reproducible in a paper format when requested.*

Documentation must be sufficiently detailed to allow supervisors, quality control reviewers, auditors, state staff or others to easily follow and recreate the basis for the eligibility decision. Documentation shall include, but not be limited to, the application, correspondence, notices of decision, specific income documents used in the eligibility decision, documentation of alien status, proof of insurance cancellation, if applicable, verification of citizenship and identity if required, etc. If necessary, documentation shall include the rationale for accepting one type of verification in lieu of another. For example, if current business records more accurately reflect self-employment income than the previous year's tax records, the file shall be documented to include the justification for using the business records. Documents that are not germane to the eligibility decision (e.g. extra pay stubs, etc.) do not have to be retained.

Original documents submitted as verification shall be copied or scanned and the copies retained in the paper case record or electronic file. Original documents shall be returned to the applicant. Refer to Section 3F G Mailroom and Postage for additional information.

All phone calls shall be documented in the case file. The calls should identify the date of the call, who called, the purpose of the call and the response given to them. Abbreviations that have been approved by the TPA and the Department are to be used in the documentation. ■

Our ECSRs will fully describe, in the applicant's case file, all documentation used and actions taken to determine an applicant's eligibility for the **hawk-i** program. We will scan and electronically attach the images of associated documentation to each application through indices set up during the initial scanning process. By tying an application to its related documentation through index values, staff will be able to easily retrieve all information and documents associated with the application.

Because we will store images of documentation used to make eligibility decisions and the history of each eligibility decision in the system, we will be able to quickly print the materials or query the data to create reports. We will develop a report layout that clearly shows, in detail, the steps taken to make the eligibility decision.

We will use our MME process described in greater detail in section 4J (Quality Management) to monitor employee performance to make sure each employee working the enrollment process keeps the required history trail so that we can track the status of the application from receipt to decision.

One feature of OnBase that will help track the thought processes used in eligibility determinations is the ability for ECSRs to attach electronic

“sticky notes” to documents. ECSRs can use these sticky notes to call particular attention to content within an imaged document, clarify or explain items in a document or the current state of a document, or explain follow-up or review actions. Notes display on a document as an icon, and different icons can be configured for different note types and document types. Using OnBase’s document retrieval capabilities, we can search for text in a note.

When we receive original documents needed to make an eligibility decision, we will scan them, verify the scanned image is in the OnBase system, and then return the originals to the applicant.

The Q/Care System Generates Notices of Decision and Correspondence

■ *Requirement 3B.2.6 – Notices of Decision and Correspondence. The TPA shall provide timely and adequate approval, denial and cancellation notices explaining the action being taken in regard to an application or an existing enrollment. Timely and adequate notice means mailing the notice within one business day of approving, denying or canceling the case. Cancellation letters must be sent at least ten (10) calendar days prior to the cancellation date. The Department shall approve, in writing, all form letters, notices of decision, forms or other correspondence that is sent to applicants and Enrollees. All notices and correspondence shall be written at a sixth-to-eighth grade literacy level. At a minimum, all notices and correspondence shall be available in plain English and Spanish. Correspondence in the appropriate language shall be sent based on the language preference indicated by the family. Refer to Section 3G.1 (i) for additional system requirements pertaining to notices.* ■

Team Noridian will create notices from the Q/Care system to inform the family of eligibility status and enrollment decisions. We will work with the Department during the Analysis and Validation task to ensure the notices are written at the proper literacy level and will make all correspondence available in English and Spanish. OnBase and Q/Care timers and alerts will be configured to assure that letters are created and distributed to meet the Department’s specific timeliness parameters. These notices will be stored electronically in either OnBase or Q/Care for ease of future retrieval.

Enrollment Status and Health and Dental Plan Information

■ *Requirement 3B.2.7 – Enrollment. The TPA shall provide information, approved by the Department, about participating Health and Dental Plans to families of children that have been determined eligible and, if necessary, assist the family in the selection of a Health and/or Dental Plan. If an Enrollee lives in a county where there is more than one participating Health Plan or Dental Plan and the Enrollee does not choose a Health Plan or Dental Plan, the TPA shall randomly assign the Enrollee to a Health and Dental Plan.*

The TPA shall establish the effective date of coverage and electronically notify the selected Health and Dental Plan of the enrollment in the 834 HIPAA compliant format that has been mutually agreed upon by the Department and the Health and Dental Plans. The enrollment file shall include the language preference of the family, demographic information about the Enrollee, the effective date of coverage and a marker indicating that the Enrollee’s poverty level is equal to or greater than one hundred fifty (150) percent of the FPL. The TPA shall have the capability to transmit and receive files electronically over a secured line in the system mode (example: VPN, FTP, bulletin board) that accommodates the Health and Dental Plans’ software and system design. The Health and Dental Plan will send the TPA a 997 functional acknowledgment.

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*The TPA shall notify the Health and Dental Plans when the number of Enrollees who speak the same, non-English language, as identified by the "Language Preference" field on the **hawk-i** application, is equal to or greater than ten (10) percent of the total number of Enrollees in the Health and Dental Plan. ■*

The ECSR's will provide the Health and Dental Plan information during the application process and follow up with the enrollee, when approved, to ensure the family is aware of all choices. Team Noridian will work with the approved applicant to help select the appropriate Health and Dental Plan, when needed. If more than one plan is available in the enrollee's county and the enrollee does not indicate a preference, we will assign the enrollee to a plan and notify the family or caregiver of the assignment.

Through the integration of OnBase and the Q/Care enrollment system, we will always be able to produce an accurate and up-to-the-minute summary of enrollment status. These reports will contain all required data elements including, but not limited to, demographic information such as the applicant's or enrollee's county of residence, poverty level indicator, address, age, and preferred language for customer support and letter generation.

We will use these data elements to create a Health Insurance Portability and Accountability Act (HIPAA) compliant 834 Enrollment transaction. During the implementation phase, we will work with each of the designated Health and Dental Plans to determine the electronic means of transmitting the file and receiving the functional acknowledgement. We will track the number of non-English speaking enrollees through an automated job that will run on a weekly basis and will notify the Health and Dental Plan(s) when 10 percent (or more) of their enrollees indicate the same non-English preference.

Initiating Calls to Welcome New Enrollees

■ *Requirement 3B.3 – Welcome Calls. The TPA shall perform welcome calls to new Enrollees. The purpose of the welcome call is to ensure that the Enrollee has received their approval notice, answer any questions, remind the family that they will have to renew at the end of the enrollment period, etc. The TPA shall make two (2) telephone attempts on different days to reach the Enrollee (or family). The proposal shall outline the process for conducting welcome calls. ■*

Team Noridian will conduct welcome calls to new enrollees to assure they have received the notification as well as to offer education relevant to the **hawk-i** program including the process for renewal into the program. OnBase will alert the ECRS staff through a workflow queue when a welcome call is needed. This alert task will be based on the Q/Care enrollment systems recognition of the successful enrollment of new **hawk-i** enrollees. If the enrollee is not contacted during the first telephone call, the event, including the date and time, will be logged in the system and a timer will be set for a second attempt on the following day. All incoming and outgoing calls are logged into the Q/Care Communications Log. The date, time and outcome of the call will be tracked in this log to allow subsequent reporting to the Department.

Assessing Ongoing Enrollee Eligibility

■ *Requirement 3B.4 – Case Maintenance. Once eligibility is established, the TPA is responsible for determining the ongoing eligibility of the Enrollee and for providing information and customer service to the Enrollee as appropriate.* ■

Team Noridian will perform review of case files and automated file comparisons to identify potential changes in enrollee eligibility status. When changes are identified, our ECSR staff will take the necessary steps to collect more information to either update records or disenroll the member as appropriate. They will ensure proper notifications are made to the Health and Dental Plans as well as the Department. Automatic reports and edits are used to generate correspondence or telephone calls whenever a discrepancy is noted in the enrollees' file.

Performing Daily Medicaid Match

■ *Requirement 3B.5 – Daily Medicaid Match. The TPA shall perform a match between the **hawk-i** enrollment file and the Medicaid enrollment file on a daily basis to identify Enrollees who have attained Medicaid eligibility. If a match is found, the Enrollee shall be disenrolled from the program in accordance with the rules of the Department. The Department shall provide the TPA with the Medicaid enrollment file.* ■

Team Noridian will accept the Iowa Medicaid enrollment file from the Department and run batch jobs in the Q/Care system to compare it to the **hawk-i** enrollment file. Infocrossing currently uses Q/Care to conduct a similar process today for several customers that require comparison of the Centers for Medicare & Medicaid Services' (CMS') Medicare enrollment files. During the Transition Phase we will work with the Department to define basic match criteria and a specific workflow process using the Iowa Medicaid files. Examples of match criteria include social security number, name, and date of birth. On a daily basis the ECSRs will review a report generated from Q/Care that includes any matches found during the comparison; the ECSRs will research the matches to ensure validity. If this results in finding an enrollee who has been identified as Medicaid eligible, the ECSRs will initiate the disenrollment process through the Q/Care system in accordance with the rules of the Department.

Performing Quarterly Insurance Data Match

■ *Requirement 3B.6 – Quarterly Insurance Data Match. The TPA shall send a quarterly enrollment file to the Department or the Department's designee to determine if the **hawk-i** Enrollee has other health insurance. The data and format of the file shall be agreed upon by both parties. The Department or designee will return the file indicating the results of the match. If a match is found, the **hawk-i** Enrollee shall be disenrolled from the program, according to the rules of the Department.* ■

As we mentioned earlier in this section, Team Noridian will work with the Department or the Department's designee during the Transition Phase to define, configure and test the Daily Insurance Data Match process. This same process will be implemented for the Quarterly Insurance Match to ensure that accurate, up to date records are maintained. During the Operations Phase we will send the quarterly file as instructed by

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the Department and then process the return file in the Q/Care system. Enrollees may be disenrolled from the *hawk-i* program based on the results on the quarterly data match.

Timely Response to Change Requests

■ *Requirement 3B.7 – Acting on Changes.* Once eligibility is established, the TPA shall be responsible for acting on changes reported by the family or on other information that is known to the TPA that may affect the Enrollee's eligibility or benefits in accordance with the rules of the Department. Reported address changes shall be acted upon within one (1) business day of the reported change. All other changes shall be acted on as soon as possible and within five (5) business days of the report of the change or the date verification of the change is received. Such changes may include, but are not limited to:

- A new child enters the home
- A decrease in family income that affects the premium obligation
- The Enrollee becomes insured

The TPA shall obtain any additional information or verification, as appropriate, before acting on the change and shall notify the family of the impact of the change according to the rules of the Department. All changes shall be thoroughly documented in the paper or electronic file. Additionally, the TPA shall confirm the Enrollee's address and phone number any time the family calls the customer service center to keep the address on the eligibility file up-to-date. ■

Regardless of how Team Noridian receives information about a change in eligibility or benefits (by mail, telephone, Web site, or facsimile), we will enter the information and associated documentation into the OnBase system and record it through our Communications Log. We will send the reported changes through OnBase workflow to notify the appropriate ECSR. Before applying the change, we will obtain any verification or other information necessary and educate the family on the impact (if any) of the change.

We will meet the Department's time frames for acting on reported changes by setting timers in the workflow system so that staff and management receive notification of deadlines as they approach. Changes requiring immediate action, such as one day turnaround, will receive priority and will be worked accordingly.

To keep accurate address and telephone numbers for each enrollee, we will require our ECSRs to verify that information each time they have contact with the family or caregiver or an enrollee.

Supporting Annual Review and Renewal of Eligibility

■ *Requirement 3B.8 – Annual Renewals of Eligibility.* The TPA shall perform eligibility reviews on every case at least every twelve (12) months as follows. Month one (1) shall be the first month in which health care coverage is provided.

- A. One (1) week prior to the date on which the renewal form is scheduled to be mailed, the TPA shall mail a postcard to the family reminding them to watch the mail for their renewal application form.
- B. Sixty (60) days prior to the end of the twelve (12)-month enrollment period, an automated renewal notification and an application form preprinted with information contained in the

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TPA's data system about the household (i.e. name, address, members, etc.) shall be sent to the family.

- C. If the renewal application form has not been received within fifteen (15) days from the date the renewal notification was sent (45 days prior to the end of the twelve (12)-month enrollment period), a reminder notice shall be sent to the family.
- D. If the renewal application form has not been received within thirty (30) days from the end of the twelve (12)-month enrollment period, at least two (2) attempts shall be made by telephone to remind the family of the renewal.
- E. As amended in Amendment One, if the renewal application has not been received within ten (10) calendar days from the end of the twelve (12)- month period, a cancellation notice shall be sent to the family.
- F. If the renewal application form has not been received by the last day of the last month of the twelve (12)-month enrollment periods, the Enrollee shall be disenrolled.
- G. The time frames for requesting additional information and are the same as processing an initial application. ■

The Q/Care system will be configured to run a renewal check as a regularly scheduled job. When the first milestone is reached, (one week prior to the 60 day renewal period), the notification postcard alerting the family that a renewal package will be sent in a week will be mailed. The system will produce the application package and send that to the family 60 days prior to the renewal date. This application package will be populated with pre-printed information such as the enrollee's name, address, members, and telephone number. The system will generate reports that detail the status of all renewal processes.

The system will automatically generate a reminder notice if the application form has not been received 45 days from the date of the renewal. If the renewal remains open 30 days from the end of the enrollment period, the system will automatically generate an alert through workflow to notify the ECSR that follow-up action is required.

The ECSR will make every attempt possible to contact the family by telephone to discuss the renewal and the application. All calls and associated information will be logged into the Q/Care Communications Log and associated workflow system to be retained with the case.

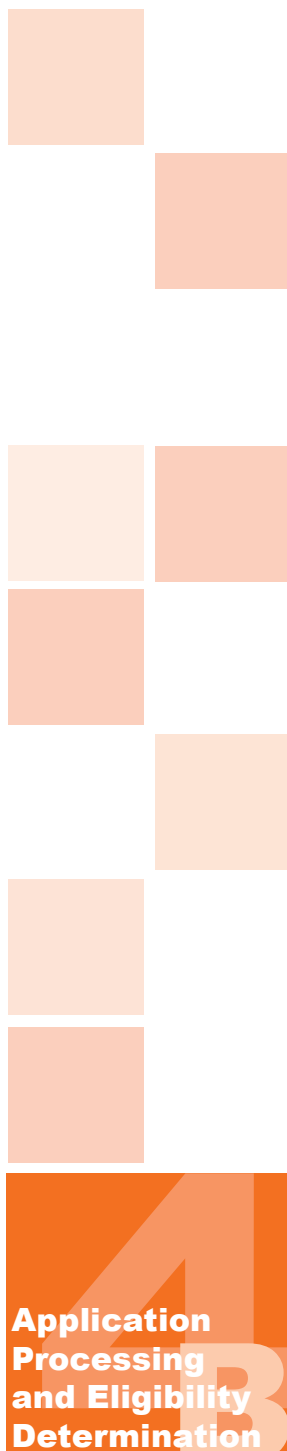
If there is no response from the enrollee within 10 days of the end of the enrollment period, a cancellation notice will be generated and sent to the family. The enrollee will be disenrolled if the renewal application has not been received by the last day of the last month of the 12-month enrollment period.

When the renewal application is returned the information will follow the same process as any incoming correspondence. It will be scanned, indexed, and uploaded into OnBase. The ECSR will take the necessary actions to update the Q/Care system to stop further reminders or possible cancellations.

Reviewing Enrollee Eligibility Status for Accuracy

■ Requirement 3B.9 – Eligibility Review Accuracy.

Requirement 3B.9.1 – Monthly Sample of Reviews. The TPA shall send a copy of the monthly



PERM files (see 3L.7 of this RFP) to the Department by the fifth (5th) working day of the month. The Department shall select a random sample of approved and denied applications (including renewals), disenrollments and ongoing cases for review. The total number of reviews completed shall be sixty (60) cases per month for a total of 360 cases per six (6) -month period. The Department shall select fifteen (15) cases from the sample for which the TPA shall conduct eligibility reviews. The Department will conduct eligibility reviews on the remaining forty-five (45) additional cases from the sample. The six (6) month periods are January through June and July through December. ■

Team Noridian will work with the Department during the Transition Phase to determine the format requirements for the Performance Error Rate Measurement (PERM) file. Q/Care will send the PERM file to the Department by the fifth working day of the month. This file will contain extracts of approved and denied applications, disenrollments and ongoing cases.

Team Noridian acknowledges the Department's requirement for sampling cases. A total of 360 cases will be selected per six month period, for a total of 60 cases each month. The Department will conduct eligibility reviews on 45 of those cases and provide 15 to Team Noridian for review. Our Quality Analysts staff will be responsible for conducting this analysis and determining if any errors were made. As discussed in Section 4J (Quality Management) the evaluation criteria and performance measurements used in this quality review will be built into our MME system. All findings will be provided in a report to Team Noridian management and the Department.

TPA Reviews

■ Requirement 3B.9.2 – TPA Reviews. The TPA shall use the **hawk-i** Case Review Form (Attachment 3) for each case reviewed to reflect the findings of the eligibility review. The TPA shall complete the **hawk-i** Case Review Monthly Tally Sheet (Attachment 4). Copies of all **hawk-i** Case Review Forms and the **hawk-i** Case Review Monthly Tally Sheet shall be provided to the Department by the tenth (10th) of each month for the previous month's reviews. The findings of the eligibility review shall be documented in the case record. All errors as defined below shall also include the corrective action taken. ■

When the Quality Analysts have completed their review they will report their findings in the Case Review Form (Attachment 3 in the RFP) for each of the 15 cases reviewed monthly, along with the Monthly Tally Sheet (Attachment 4 in the RFP). Team Noridian management will forward these reports to the Department by the tenth each month. The Team Leader will ensure corrective action plan is completed to ensure any error(s) is addressed. This could include updating processing instructions or the re-training of staff.

Definition of Error

■ Requirement 3B.9.3 – Definition of Error. An error is not assessed against the TPA in situations where the TPA correctly relied on information provided by the applicant or the State. ■

Team Noridian will rely on our documented procedures and online storage of all information and documents received to support our justification for the decision that had been made on an application or renewal. All correspondence, applications, financial information, telephone calls, and notes will be available through OnBase and Q/Care.

Team Noridian acknowledges the Departments definition of an error, and that it is not recognized as an error if the decision made was based on the information that had been available at the time the application was processed.

Procedural Errors

■ *Requirement 3B.9.3.1 – Procedural Error. A procedural error is defined as a deficiency in any aspect of processing an application or ongoing case maintenance that is not consistent with the rules and policies of the program. Procedural errors include, but are not limited to, not meeting notice requirements, incorrect income calculations that do not affect eligibility of the enrollee, inadequate documentation, etc.* ■

Team Noridian acknowledges the definition of a procedural error. Our process documents will include this definition and we will educate all of our staff on this definition. Our Quality Management Program will provide for reviews and quality measurements through our MME system to ensure all procedures, guidelines, and steps are followed when processing an application or conducting ongoing case maintenance. Our process documents and OnBase workflows will include all of the steps needed to process an application including reference to the appropriate rules and policies of the **hawk-i** program.

Financial Errors

■ *Requirement 3B.9.3.2 – Financial Error. A financial error is defined as an action, or lack of action, by the TPA that results in an ineligible person receiving **hawk-i** benefits in error or not being assessed a premium when one is owed.* ■

Team Noridian acknowledges the definition of a financial error. Our process documents will include this definition and we will educate all of our staff on this definition. Our Quality Management Program will provide for reviews and quality measurements through our MME system to ensure all procedures, guidelines, and steps are followed when determining eligibility or the premium payment due. Our process documents and OnBase workflows will include all of the steps needed to determine eligibility and the proper premium payment including reference to the appropriate rules and policies of the **hawk-i** program.

Error Rate Determination

■ *Requirement 3B.9.4 – Error Rate Determination. Each review element listed on the **hawk-i** Caser Review Form (Attachment 3) is assigned points. Each case reviewed will have a maximum of one hundred (100) points. An error cited in the review will result in the loss of the points assigned to the review element. At the end of each case review, the total points scored for the case shall be recorded. The **hawk-i** Case Review Monthly Tally Sheet (Attachment 4) shall include the summary for the cases reviewed during that month. The error rate will be determined by dividing the total number of points scored for all case reviews during the six (6)-month period by the total points possible for the same cases.* ■

During the Transition Phase the Quality Coordinator will document the Case Review process and how the forms should be completed and sent to the Department. Our Quality Analysts will conduct the monthly reviews and complete both the Case Review Form and the Case Review Monthly Tally sheet. The Team Leader and/or Project Manager will review the findings and sign off on them before forwarding them to the Department.

Team Noridian acknowledges how the error rate will be determined and applied to the *hawk-i* contract.

Review of Eligibility Determination

■ *Requirement 3B.9.5 – Department Reviews of Eligibility Determination. As amended in Amendment One, the Department shall re-review twenty-five (25) percent of the cases reviewed by the TPA. If the Department identifies a case in error that was previously determined correct in a review by the TPA, the TPA shall owe the Department twice the amount of any financial error. If the error is a procedural error, the total number of points in error shall be doubled.* ■

Following the monthly submission of reports to the Department, Team Noridian understands the Department will conduct an additional review of 25 percent of cases conducted by us. Following the results of those reviews, the Project Manager will review the report and any findings from the Department. If any error is detected during the Department's review, the Project Manager will notify the Team Leader to ensure the error is addressed and to determine if any re-training is required. The results of these findings will be tracked by Team Noridian including any amount of any financial error that is due to the Department.

Eligibility Review Performance Measures

■ *Requirement 3B.9.6 – Eligibility Review Performance Measures. The TPA shall maintain an error rate of three (3) percent or less based on the results of the three hundred sixty (360) eligibility reviews and re-reviews conducted during the six (6)-month period. For financial errors, the TPA shall repay the Department the amount of any benefits paid in error and the amount of any uncollected premiums. Additionally, the Department may deduct five thousand dollars (\$5,000) for failing to maintain an error rate of three (3) percent or less from the monthly operations fee. The deduction shall be made to the monthly operations fee payment for the month following the receipt of the six (6)-month review report.*

The amount of any deduction is not recoverable. ■

Team Noridian will continue to track all findings or results of reviews conducted for this project. For these eligibility reviews Team Noridian understands we must maintain an error rate of three percent or less of the 360 cases reviewed and will be liable for a penalty if that rate is not maintained over the six month period. We also acknowledge our financial responsibility regarding any benefits paid in error or uncollected premiums.

Managing Other Eligibility Reviews

■ *Requirement 3B.10 – Other Eligibility Reviews. The TPA may elect to conduct additional reviews as a part of their quality management process as described in Section 3J.1 Eligibility Process.* ■

As we discussed in the Section 4J (Quality Management), Team Noridian will use our MME process to review and report on productivity and quality for every employee and every team for each job function. During the Transition Phase we will create a Quality Management Plan which will outline the process. Team Noridian will staff a Quality Coordinator during the Transition Phase to help create the Quality Management Plan and review all the deliverables to the Department. This individual will also help define the procedures and process for the ongoing Operations Phase.

At the beginning of the Operations Phase the Quality Coordinator will turn over these duties to the Quality Analysts who will be responsible for the Quality Management Program during the Operations Phase.

Transmission of Enrollment Files

■ *Requirement 3B.11 - Enrollment Files. The TPA shall transmit enrollment files to the Department or the Department's designees on a schedule agreed upon by all parties.* ■

Team Noridian will work with the Department or the Department's designee during the Transition Phase to determine the process for transmitting enrollment files.

Conclusion

Team Noridian has procedures, automated checklists, process documents, and a Quality Management Program in place that will be implemented to manage all aspects of the application review and eligibility determination functions. These procedures and associated materials will promote consistency in approach and accuracy in making determinations. In addition, the use of automated workflows and electronic images will help to significantly reduce the chances of errors that may occur through more manual processes. With our integrated OnBase and Q/Care systems, including sophisticated edits and timing parameters, Team Noridian will be able to assure the Department of accuracy and timeliness in processing.



**Premium
Collection,
Capitation
Payment, and
Accounting**

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Premium Collection, Capitation Payment, and Accounting



Application Tracking

- Our premium billing solution provides premium calculation flexibility that will easily be configured to meet the Department's requirements for the *hawk-i* program .
- We have experience in developing, transmitting, and receiving HIPAA-compliant transactions over secured networks to support the capitation process.
- The member eligibility subsystem is fully integrated with the financial system including all premium data, cost sharing details, accounting data, and refunds data.

Premium Collection, Capitation Payment and Accounting

Team Noridian is committed to the proper processing and accounting of premium payments made to the Health and Well Kids in Iowa (*hawk-i*) program. Q/Care's flexible business rule capabilities will control premium billing functionality and an easy to use cash management system will allow Team Noridian to quickly apply and adjust payments through simple online entry screens. All posting, adjustments, and reversals of premium payments will be made using generally accepted accounting principals.

We are experienced in developing, transmitting, and receiving data files in the prescribed Health Insurance Portability and Accountability Act (HIPAA) compliant formats which will be used for the capitation process. The Q/Care system is able to calculate any retroactive change made to an enrollee's status and will be able to adjust the capitation payment accordingly.

Team Noridian realizes how critical the receipt, application, and reconciliation of premium payments is. We are confident that our financial, eligibility, and capitation subsystems all have the necessary safeguards in place to ensure all payment processing is fiscally sound and accurate.

The Q/Care Financial Subsystem Will Control the Collection and Accounting of Premium Payments

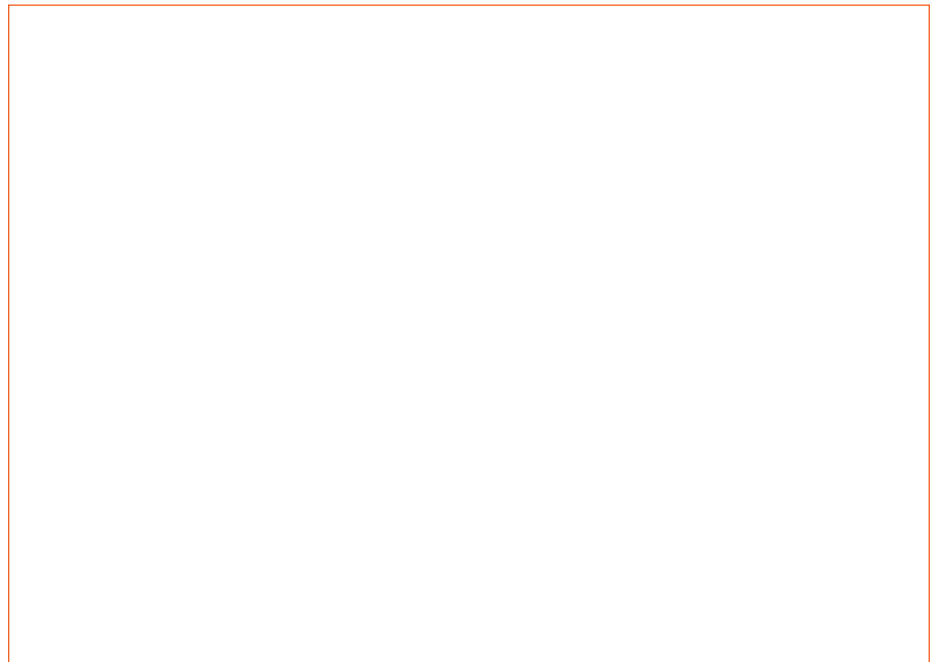
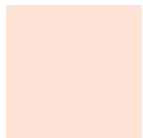
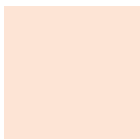
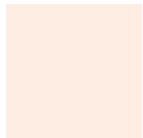
■ *Requirement 3C.1 - Collection and Accounting of Premium Payments. The TPA shall be responsible for collecting monthly premiums from the family in accordance with the rules of the Department. The TPA shall notify the family, in writing, of their premium obligation when eligibility is established. No child shall be enrolled with a Health and Dental Plan in any month in which the premium obligation has not been met.*

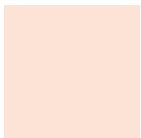
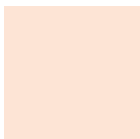
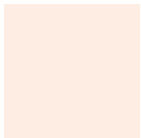
The proposal shall describe the process by which premiums will be collected and the thirty (30) day grace period tracked. Currently, payment coupons with postage-paid business reply envelopes are provided to the family at the beginning of the twelve-month enrollment period and deposits are made directly into a lockbox. The TPA is not limited only to the use of coupons. The TPA shall work with the Department to have the capability to collect premiums through automatic bank account withdrawals and by credit card payments.

The TPA shall:

- *Establish an accounting system using general accepted accounting principles by which payments will be tracked, recorded and reconciled. The accounting system shall be designed to accept and post payments made for future months, make refund and non-sufficient fund adjustments. If the family pays premiums in advance and subsequently loses eligibility, the proposal shall describe the process by which refunds and refund reversals will be made to the family and tracked in the accounting system. Refer to Sections 3G.3, 3G.4, and 3G.5 for additional system requirements pertaining to premiums.*
- *Establish a triplicate receipt system to handle cash premium payments.*
- *As amended in Amendment One, deposit funds into a state owned interest-bearing account that is separate from the account in which funds warranted by the State are deposited.*
- *Balance and reconcile the State-owned bank account.*
- *Prepare financial statements on a monthly basis in a format specified by the Department*

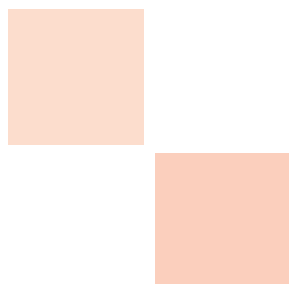
and submit these statements to the Department on a monthly basis by the 10th day of the following month. ■



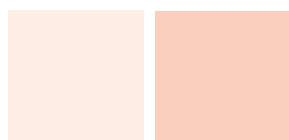


Team Noridian

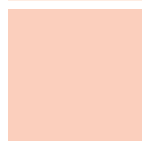
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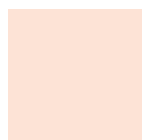
We Will Post Premium Payments Timely and Accurately



When premium payments are received (either via report from the bank Lock Box or through the mail), the payment will be scanned (or cash counted by two employees and noted on a triplicate receipt) and then routed to the Financial Specialist with the accompanying bill notice or other correspondence. The Financial Specialist will input the amount through an online screen and the system will post the amount to the receivable. The Financial Specialist will also note the method of payment along with any applicable notes and the transaction identifier received from the bank deposit information. If the amount posted is greater than the receivable, the system will apply the balance to future receivables and set the necessary trigger dates associated with the future receivables. The Financial Specialist will receive an online alert notifying them that this occurred.

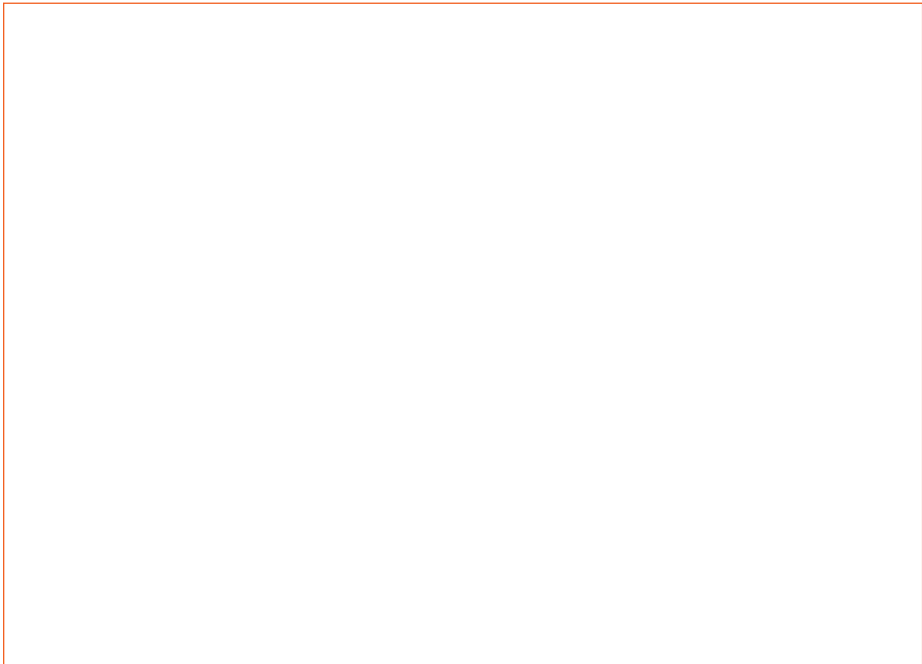
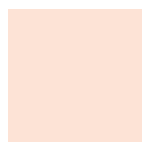
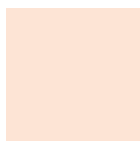
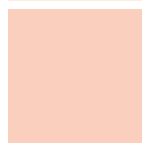
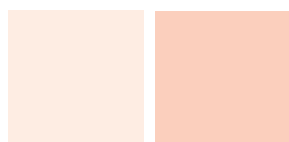
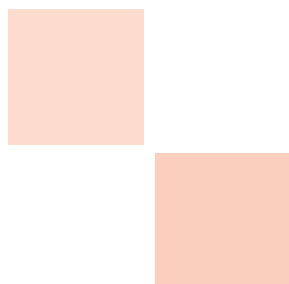


The financial system will track all activity related to the posting of premiums including due dates, amount due, amount received, amount posted to future payment(s) due, any reminder or past-due notices issues, and the cancellation of the enrollee due to non-payment.



In the event a family has paid in advance and later become disenrolled for any reason, the system will create an accounts payable record for that family and calculate the amount the family overpaid based on the disenrollment date. During the Transition Phase, Team Noridian will work with the Department to determine how we will issue the refund through the state owned bank account.





Our Approach to Refund and Non-Sufficient Fund Processing

Team Noridian will use the G/L subsystem within Q/Care to track and process refunds. Based on the timeframes established by the Department, the G/L subsystem generates a refund file that Q/Care uses to set up an accounts payable record, produce checks, and any related correspondence. The enrollee premium payment history will be updated as part of this process.

The G/L subsystem processes checks returned as undeliverable in the same manner. Once the returned check has been controlled and routed to the Financial Specialist, he or she will update the G/L subsystem with an indicator to prevent the generation of another check while the address is researched.

Team Noridian will deposit any returned checks into a State owned interest-bearing account that is separate from the account in which funds warranted by the State are deposited. Q/Care maintains the State bank accounts in the G/L subsystem, which automatically reconciles all payment and refund entries within these accounts.

Non-sufficient fund checks are also tracked in the G/L system. When notice of an insufficient fund check is received from the bank, the check is route to the Financial Specialist who will update the G/L subsystem with the appropriate indicator. This will signal the system to create an accounts payable record and calculate the appropriate new eligibility end dates in the member system. Correspondence will be automatically generated to the head of household to inform them of the enrollee's new status and explain the reason.

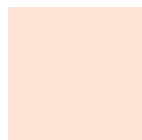
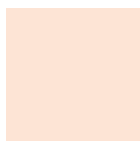
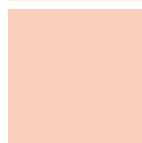
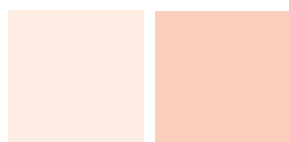
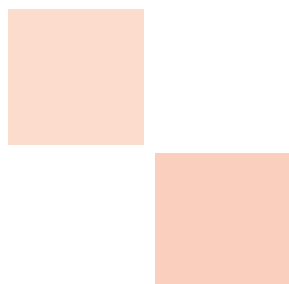
We Will Balance the State Bank Account

We Will Make Accurate Capitation Payments to Health and Dental Plans

■ *Requirement 3C.2 – Capitation Payments to Health and Dental Plans. The TPA shall certify the number of Enrollees to establish and confirm the total capitation payment to be paid to participating Health and Dental Plans each month. The TPA shall electronically transmit this data to the Health and Dental Plans in an 820 HIPAA compliant format. The TPA shall have the capability to transmit and receive files electronically over a secured line in the system mode (example: VPN, FTP, bulletin board) that accommodates the Health and Dental Plans' software and system design. The Health and Dental Plan will send the TPA a 997 functional acknowledgment.*

The TPA shall also create a paper and electronic report on the last business day of each month listing all Enrollees, the capitation amount to be paid for each month or months of coverage, and the name of the Health and Dental Plan. The report shall identify each Enrollee for whom payment is to be made alphabetically by last name and participant identification number for each Health and Dental Plan. The TPA shall submit the report to the Department no later than the first business day of the next month. The Department shall use the report to issue the payment to the Health and Dental Plans. ■

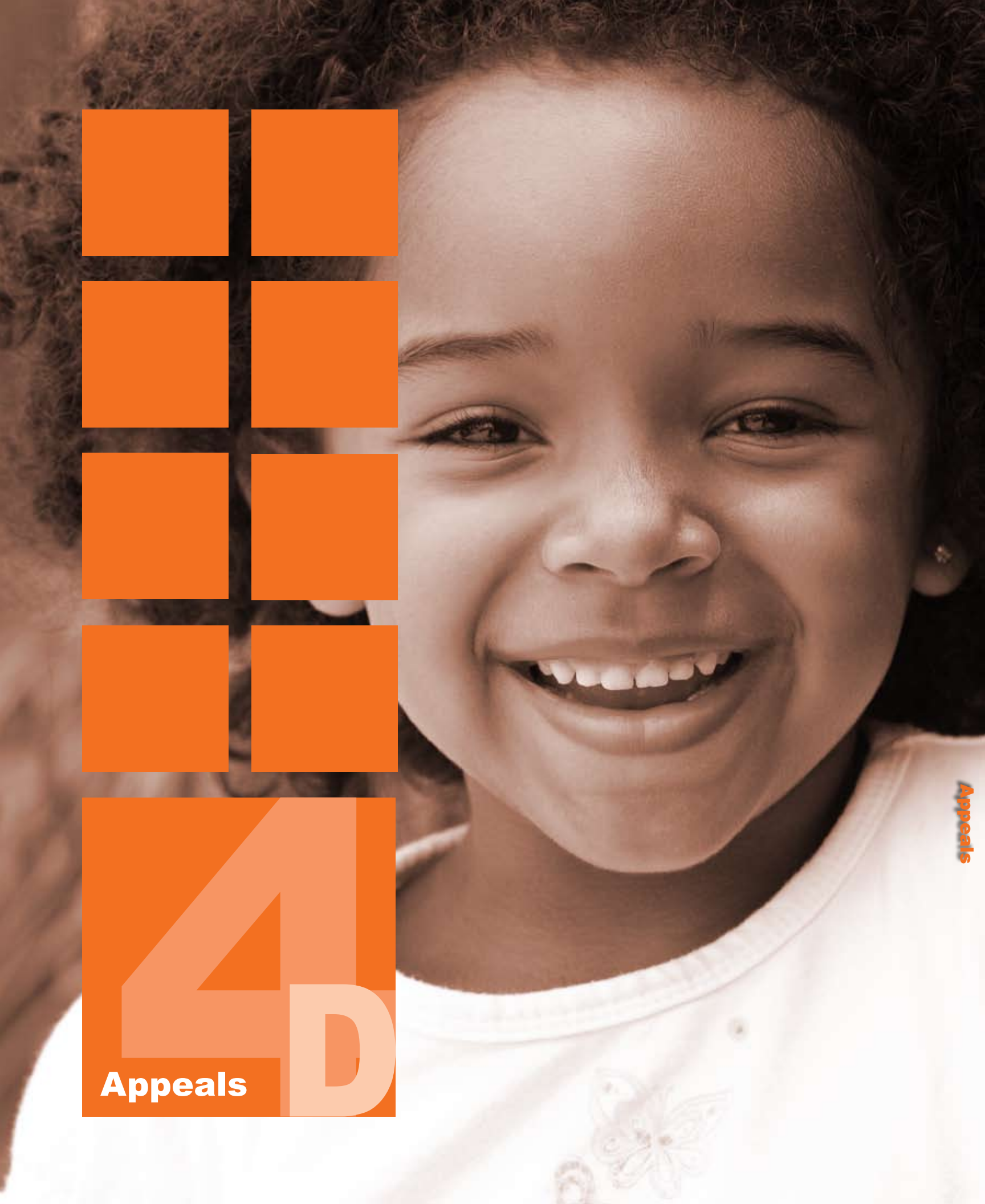
**Premium
Collection,
Capitation
Payment and
Accounting**



Conclusion

Team Noridian is committed to the proper processing and accounting of premium payments made to the *hawk-i* program. Our integrated financial and enrollee subsystems will ensure that all financial postings and activities are immediately reflected in the enrollee's case data and subsequently in the capitation process when applicable. Our financial systems are in compliance with generally accepted accounting standards and provide all the functionality required by the Department, with user-friendly, intuitive online data entry and inquiry screens. And, we offer a full range of standard financial reports and access to all data through our DSS repository.

Since Q/Care has an open architecture, it is easily modified to integrate with other systems including Web sites and other *hawk-i* applications which will expedite the process of enhancing the system to allow for interfacing for automatic bank deposits and / or credit card payments. We welcome the opportunity to discuss this and other features of our system with the Department.



Appeals

Team Noridian ADVANTAGE

- A solid foundation of experience—in terms of both business processes and knowledge—for supporting the Iowa Department of Human Services' appeals function
- Innovative technology to track, store, and readily retrieve all information associated with a case file
- Robust automated workflow capabilities for controlling and monitoring work to timely completion

Both partners that make up Team Noridian understand and have experience with appeals processes that have requirements similar to those of the Iowa Department of Human Services' (Department's) requirements for the Healthy and Well Kids in Iowa (**hawk-i**) program. Noridian Administrative Services, LLC (Noridian) currently conducts reviews of previously made payment decisions and collects overpayments when necessary for our Medicare and Medicaid programs including the North Dakota's Caring Foundation, which serves children who have been determined ineligible for Medicaid or Healthy Steps (our State Children's Health Insurance Program). Similarly, Infocrossing Healthcare Services, Inc. (Infocrossing) also facilitates the appeals processes for several of their lines of business including the State of Missouri's Medicaid program. Our current lines of business require the processing of the appeal as well as the tracking, monitoring, and timely response to all requests for all information applicable to the appeal. So we are well-versed in the functions needed to support the Department in the appeals function.

Team Noridian will model the appeals support process on Noridian's existing Medicare appeals business which uses workflows to control and route all information associated with the appeal. Timeliness parameters are built into the workflows to ensure all required deadlines are met. We are confident our experience and knowledge of the appeals function, as well as our technology for tracking and monitoring documents and work tasks, makes us well-prepared to support the Department in processing any appeals.

Managing the Appeals Function Using Detailed Procedures and Innovative Tracking Systems

■ *Requirement 3D.1 – Appeals. The TPA shall provide notice of appeal rights in all appropriate correspondence to applicants and Enrollees. The TPA shall assure compliance with all timeframes, including the Enrollee's right to request continuing eligibility in the program while the appeal determination is pending when applicable.*

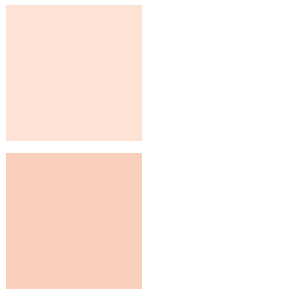
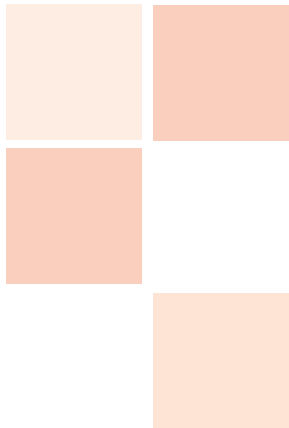
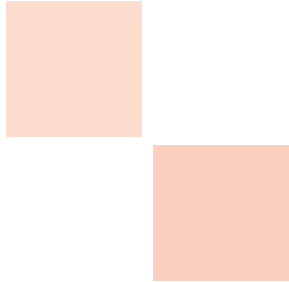
The TPA shall maintain all business records of written and oral contacts with applicants, Enrollees, and their representatives in a manner that will enable such records to be introduced as evidence. The TPA shall respond directly to an Enrollee's authorized representative or other third party for whom there is a signed authorization on file with the TPA.

*The TPA shall prepare and present evidence on behalf of the Department in contested case appeal hearings for the **hawk-i** program as established by administrative rules or any other training materials provided by the Department. The TPA shall supply necessary case files and documentation in the appeal process. The Department shall provide or make available to the TPA training courses conducted by the Department on the appeal process.*

In the event an appeal is overturned on a decision (the decision is against the Department) because the TPA failed to appear for the appeal hearing, the Department may withhold the value of the appeal from the monthly operations fee following the month the final decision was rendered. This amount is not recoverable. ■

Appeals

During the Transition Phase, Team Noridian will work with the Department to gain knowledge of the current appeals process. Gaining this insight early on will help ensure that Team Noridian's training materials and process documents, which are explained in Section 4H (Training), are created effectively. Team Noridian staff will be trained to know the background and requirements for the appeals process and on how to respond to authorized representatives of the enrollee or the enrollee's family.



Upon receipt of a denial letter, the applicant or enrollee may request Team Noridian to review the decision. Possible additional information or corrected information could be provided which could result in the child being deemed eligible for the **hawk-i** program. If the additional information does not change the denial decision, the family will be notified and they can continue with the appeal process by notifying the Department Appeals Unit.

All written and verbal communications, including those regarding any appeal, will be tracked through the OnBase and Q/Care systems. If an inquiry is received via the telephone the Enrollment Customer Service Representative (ECSR) will walk through the file, review the notice sent to the applicant/enrollee, and listen to what additional information the caller can provide. This interaction will be tracked within the Q/Care Communications Log which will also house history of all other applicant and enrollee contacts. If a written inquiry is received the correspondence will be scanned and the image will be uploaded into OnBase where an ECSR will review the request and make a decision on their review.

By recording the **hawk-i** appeals procedures and time frames into process documents and then using those process documents for training and quality assurance activities, we will make sure that our ECSRs know, understand, and inform each enrollee of appeal rights as defined by the Department, including the right to request continued coverage until the determination of the appeal.

Upon the Department's request, we will collect and prepare all applicable information regarding an enrollee's appeal case. Information from the Q/Care Communications Log and Eligibility Systems will be extracted along with any pertinent scanned document images from OnBase. The Team Leader, or the Team Leader's designated ECSR, will present the case to the applicable parties when requested. Team Noridian will commit to having the appropriate staff attend any appeal hearings. We acknowledge that not attending the appeal could result in an over-turned eligibility decision; which would cause the Department to withhold the value of the appeal from the monthly operations fee following the month the final decision was rendered.

Using Workflow Technology to Complete Timely Overpayment Referrals to the Department of Inspections and Appeals

■ Requirement 3D.2 – Overpayment Referrals to the Department of Inspections and Appeals (DIA). If it is determined that an Enrollee received benefits to which the Enrollee was not entitled due to error, omission or suspected fraud on the part of the Enrollee, the TPA shall be responsible for identifying the month(s) of ineligibility and the total amount of the capitation payment made in error on behalf of the Enrollee. The TPA shall complete the appropriate forms and send them to the Department within thirty - (30) days of the determination so DIA may initiate recovery of the overpayment. Copies of the referral documents shall be retained in the case record, along with documentation of how the overpayment was calculated. Overpayment referral activity shall be reported to the Department on a monthly basis. ■



When Team Noridian determines that an overpayment was made on behalf of an enrollee, our Financial Specialists will research the case, identify the period of ineligibility, calculate the amount of capitation payment made in error, and send the proper overpayment referral paperwork and forms to the Department of Inspections and Appeals, for recovery of the funds. To guide the Financial Specialists through this referral process, we will build workflows into our EDMS, OnBase. Our financial Specialists will document each activity completed, including information on how the overpayment was calculated. This documentation will be attached to an enrollee's specific case file in OnBase using established indices.

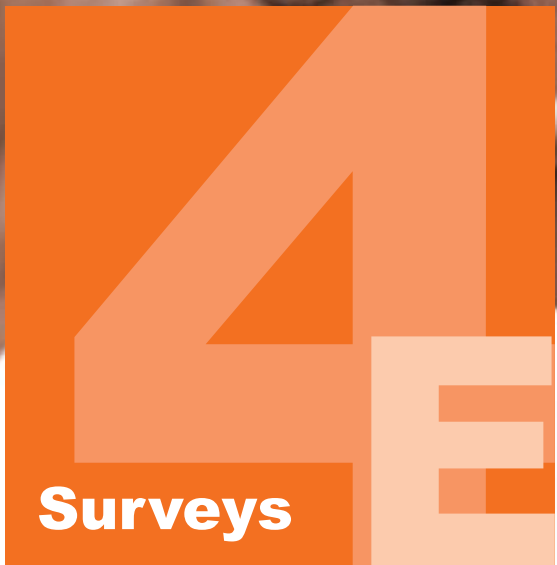
To make sure we notify the Department of the overpayment determination within 30 days, we will establish timeliness parameters within OnBase workflow or Q/Care as appropriate for each step in the overpayment referral process. By allocating a certain amount of time to each step, we can make sure that the whole process is completed within the Department's timeliness expectation. If any step in the process is not completed within its established timeframe parameters, OnBase or Q/Care will automatically send alerts to Team Noridian management.

We will be able to readily retrieve referral documents and information from OnBase and Q/Care for future case reviews. We will report all overpayment referral activity to the Department each month.

Conclusion – Our Knowledge and Technology Meets the Department's Needs for Appeals

Team Noridian's knowledge, experience and innovative use of technology will compliment our many years of experience managing appeals processes for multiple lines of business. The capabilities of Team Noridian will provide the Department appeals support and processing by a Third Party Administrator who is engaged and responsive—engaged in notifying enrollees of and meeting their appeal rights and responsive in furnishing case file documentation to the Department.





Surveys

Team Noridian ADVANTAGE

- Team Noridian will use automated features in Q/Care and OnBase to control the timely issuing of surveys.
- Our process documents will ensure that all Enrollment Customer Service Representatives follow all steps in requesting, receiving, and processing surveys.
- Our integrated system will track all incoming and outgoing verbal and written correspondence related to the survey process.

Team Noridian understands the importance of surveying our enrollee's families to ensure they are aware of all of their entitled benefits and are satisfied with the administration of the Healthy and Well Kids in Iowa (**hawk-i**) program. The disenrollment surveys allow the family to tell Team Noridian and the Iowa Department of Human Services (Department) where improvement is needed, but also what we are doing right. A balanced perspective is necessary to guide future cost effective changes. Health assessments are a critical tool for the Department to procure the appropriate mix of treatment providers and to realistically review and forecast trends. We will implement processes that ensure all of our staff understand each of the steps they must follow to support this important function.

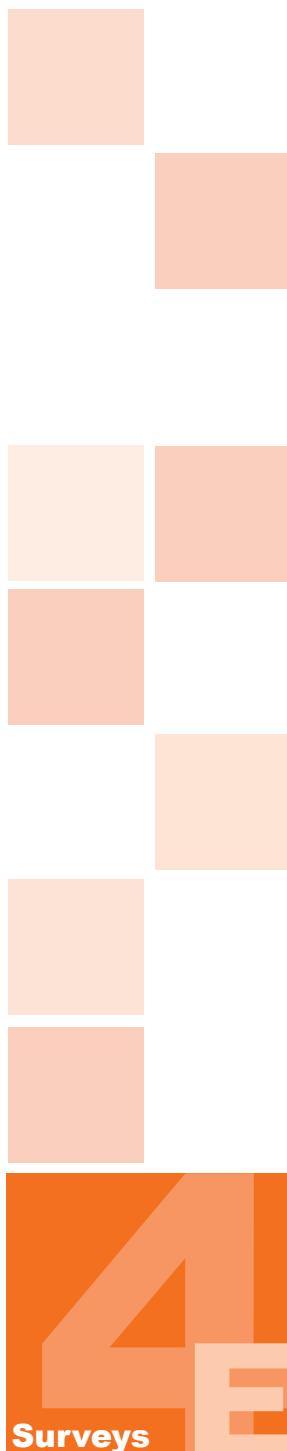
Team Noridian will use automated features within our Electronic Document Management System (EDMS), OnBase and our Eligibility/ Enrollment and Correspondence Systems within Q/Care, to control the issuance, receipt, input, reporting, and monitoring of all activities associated with the survey process. Timing parameters will be set and automatically triggered to alert our systems or our staff that a task associated with surveys is coming up so that we can pro-actively fulfill all of the time requirements. All returned survey materials will be housed in our EDMS and will be readily available for retrieval by our staff and the Department.

Finally, as part of our continuous process improvement and Quality Management Program, we will monitor all processes and all work products associated with the survey function to ensure all steps are followed and that we identify opportunities to streamline and improve this activity. We will monitor staff to ensure they are professional and helpful when conducting telephone surveys and that they are fully aware of the importance of the survey activity. And, we will assess the results of each survey with the Department to identify any areas where we can improve our services as the **hawk-i** administrator to each enrollee in the program.

Automated Features Will Trigger the Generation of the Disenrollment Survey

■ *Requirement 3E.1 – Disenrollment Survey. The TPA shall conduct a disenrollment survey within thirty (30) calendar days of disenrollment. This shall be done on thirty (30) percent of the cases that were disenrolled. The TPA shall attempt to contact the household of any children who were disenrolled from the program for unknown reasons to determine why the Enrollee(s) disenrolled. The TPA shall make at least four (4) telephone call attempts at varying hours throughout the day and evening on multiple days. All attempts to obtain disenrollment information, including information regarding satisfaction with the program or other information as required by the Department, and subsequent responses shall be documented in the data system. If the household is not reached after at least four (4) telephone call attempts, the TPA shall mail a postage-paid disenrollment survey. Data obtained from the responses to these questions shall be tabulated by the TPA and shall be reported on a monthly basis in a format specified by the Department.* ■

Surveys



If the ECSR is able to contact the household, they will conduct the survey over the phone and record the results. All survey results will be documented within a survey file which will be designed and developed with the Department during the Transition Phase. We will also work with the Department to determine the format of the monthly report that will be submitted. If based on the survey it is determined other actions are needed, which could include re-enrolling the child into the program, the ECSR will take the necessary steps.

As described in Section 4J (Quality Management) and Section 4H (Training), Team Noridian will develop internal process documents that will outline the step-by-step procedures for all tasks within all functional areas, which includes all survey activities and the process for re-enrolling an enrollee. In conjunction with the documented process, Team Noridian will develop a checklist the ECSR will use to document all survey steps and re-enrollment tasks. This will ensure that all tasks are completed within the Department's timeframes.

Team Noridian Will Ensure the Baseline Survey and Follow-Up Surveys are Conducted in a Professional, Expedient Manner

■ *Requirement 3E.2 – Administration of the Functional Health Assessment Surveys. The TPA shall conduct two (2) functional health assessment surveys that have been developed by the Department. The first, called the baseline survey, is conducted with new **hawk-i** Enrollees upon enrollment into the program. The purpose of this survey is to determine the Enrollee's health status and experiences with health care services prior to enrollment in the **hawk-i** program.*

*The second, called the follow-up survey, is conducted on the same Enrollees after they have been in the **hawk-i** program for one year. This survey is to determine the Enrollee's experience with the program and how this experience may have affected the health status of the Enrollee.*

The TPA is responsible for the development of an automated system for the distribution, tracking and transmission of materials and data related to the functional health assessment surveys as follows: ■

Baseline Survey

■ Requirement 3E.2.1 – Baseline Survey

a. Identification of survey recipients. The TPA shall develop a system that randomly designates one Enrollee per enrolled family as the child for whom the survey is to be completed.

- The TPA shall use an algorithm to select the child targeted for the survey. The selected child shall not always be the youngest, oldest, etc. If there is only one Enrollee in the family, that child shall be designated as the child for whom the survey is to be completed.
- The selected child shall be assigned a unique identification number in the health assessment survey tracking system.

b. Notification

1. Language preference. The TPA shall send survey materials in the preferred language (English or Spanish) as indicated on the **hawk-i** application form. If the language preference is for a language other than English or Spanish, materials shall be sent in English until the materials are available in the preferred language.
2. Pre-notification. The TPA shall include an informational insert with each notice of approval for participation in the **hawk-i** program advising the family that a survey will be forthcoming.
3. First survey mailing. Within five (5) business days after enrollment in the Health Plan, the TPA shall mail the survey form, a cover letter, and a postage-paid business reply envelope to the parent(s) of the selected child. The survey form shall have a label containing a unique number for identification and a three-way-match for identification. The cover letter shall contain the name of the child for whom the survey is to be completed and the unique identification number.
4. Reminder postcard. If a response to the first survey is not received within one (1) week from the date the survey was mailed, the TPA shall mail a reminder postcard.
5. Second survey mailing. If a response to the first survey is not received within two (2) weeks from the date the reminder postcard was mailed, the TPA shall mail a second survey. The mailing shall contain the survey form, a cover letter, and a postage-paid business reply envelope. The survey form shall have a label containing a unique number for identification and a three-way-match for identification. The cover letter shall contain the name of the child for whom the survey is to be completed and the unique identification number.
6. Telephone survey follow-up. If a response to the second survey is not received within two (2) weeks from the date the second survey was mailed, the TPA shall attempt to contact the Enrollee's family by telephone. The TPA shall make a maximum of five (5) attempts to contact the Enrollee's family at varying hours throughout the day and evening on multiple days. If contact is made, but the Enrollee's family indicates they do not wish to respond at the present time, the TPA shall identify a more convenient time at which to contact the family and shall follow-up with a return call. The TPA shall use the survey form approved by the Department to conduct the survey by telephone. If no contact has been made by the fifth (5th) attempt or if the Enrollee's family indicates an unwillingness to participate in the survey, the TPA shall close the record and report it as an unsuccessful survey.

c. Tracking. The following dates shall be entered into the automated tracking system:

- Pre-notification. The date the informational insert was mailed.
- First survey mailing. The date the first survey was mailed.
- Reminder postcard. The date the reminder postcard was mailed.
- Second survey mailing. The date the second survey was mailed.
- Telephone follow-up. The date of each telephone follow-up attempt.
- Responses. The date responses were received, including the date on which the TPA records survey responses via a follow-up telephone survey.
- Unsuccessful survey. The date the survey is determined to be unsuccessful.

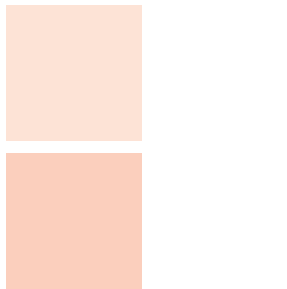
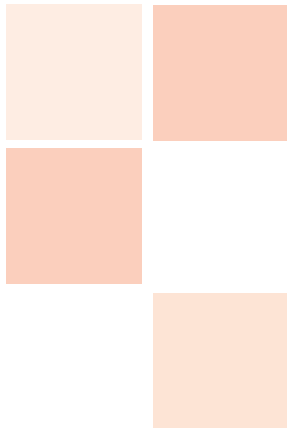
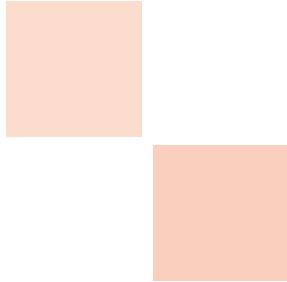
d. Data entry.

A. The TPA shall enter the data contained in the survey into the automated system within five (5) business days of receipt of a completed survey.

B. The TPA shall have mechanisms in place to ensure accuracy and security of the data entered into the automated system.

e. Transmission of data.

- The TPA shall electronically transmit the eligibility file, in the established schedule and file formats, to the Department or the Department's designee.
- The TPA shall electronically transmit all survey data within five (5) business days from the last day of the month, in the established format, for all data collected in the immediately preceding month, to the Department or the Department's designee. ■



Survey Checklist

- Make a maximum of five attempts by telephone at varying days and times.
- Document all attempts and their resolution.
- Try to set a more convenient time if the family seems reluctant to participate.
- Enter all survey information using the online survey form if the family member does respond to the telephone attempt.
- Close the survey attempt if the ECSR cannot contact the family after all attempts or the family refuses to complete the survey.
- Document all actions in the survey file.

Figure 1-4E. Survey Checklist. Process documents will be created that specify all actions to be followed to ensure survey timeliness.

As stated previously, Team Noridian will create process documents with associated checklists to ensure that all timeframes and steps required by the Department are explicitly followed in the attempt to get survey information from the family. This includes the steps listed in Figure 1-4E (Survey Checklist).

The surveys and all associated information, including dates of all mailings, telephone contact, resolutions, notes, and the survey itself will be logged into our tracking system. As we've discussed in 4J (Quality Management) our Quality Analysts will include reviews of these processes and all documents to ensure the appropriate steps are taken, follow up is conducted, and results are properly documented. We will also work with the Department to assess all survey results to help identify opportunities for improved service to our enrollees.

Team Noridian will work with the Department or the Department's designee during the Transition Phase to determine the schedule and file formats needed for the eligibility file as well as the survey data. Team Noridian will transmit the survey data results to the Department, or the Department's designee within five business days from the last day of the month.

Follow-up Survey

■ *Requirement 3E.2.2 – Follow-up Survey. As amended in Amendment One, the TPA shall conduct a follow-up survey using the process established in Section 3E.2.1 of this RFP at the annual renewal of each surveyed Enrollee.* ■

As described in the previous sections, Team Noridian will support the survey functions as outlined in this Request for Proposal (RFP). Follow-up surveys will be conducted using the same processes and procedures outlined earlier in this section. The Q/Care system will generate the postcards, survey packages, and notifications to the ECSRs. This process will be triggered on the enrollee's one-year anniversary date.

Surveys

We Will Work with the Department to Define the Functional Health Assessment Survey Activity Report

■ *Requirement 3E.3 – Functional Health Assessment Survey Activity Report. The TPA shall provide a report to the Department regarding survey activity. The report shall be provided on a monthly basis and shall include the following monthly statistics:*

- *Total Enrollees surveyed;*
- *Total responses to first survey;*
- *Total Enrollees receiving second survey;*
- *Total responses to second survey;*
- *Total Enrollees for which telephone contacts were made;*
- *Total surveys obtained by telephone; and*
- *Total unsuccessful telephone attempts. ■*

During the Transition Phase, Team Noridian will create a report that will outline the statistical information requested by the Department. The report will be provided on a monthly basis in a format agreed upon with the Department. We will ask the Department to supply copies of the incumbent's report, along with a description of the data source for each report as a starting point. With the Department's input, we will make any changes, additions, or deletions from the original layout to produce acceptable new formats. Once the formats have been approved, we will identify all data elements needed and the source of the elements to determine which of our integrated systems will be used to produce the report.

Conclusion – We Recognize the Importance of the Survey Process

Team Noridian recognizes the importance of the survey process and will work during the Transition Phase to automate the different functions and timing parameters that drive this function. Our OnBase and Q/Care systems will be designed to streamline the process as much as possible. We will ensure all of our staff are knowledgeable of each task involved in this activity through the use of our process document system and monitor all processes, documents, and activities as part of our Quality Management Program. We will also work with the Department to assess the survey results returned to identify opportunities to improve our service to the *hawk-i* enrollees.



**Mailing
and Postage**

Mailing and Postage

Team Noridian ADVANTAGE

- Team Noridian has years of experience in administering large-scale health care programs which has required the careful management of huge volumes of correspondence received and sent through multiple types of media.
- We offer the Department an established secured facility that is ready to perform *hawk-i* mailroom activities
- We have established award winning technology to open and prepare mail for scanning, and to store and route imaged documents electronically to the appropriate staff

The accurate, timely, and secure management of correspondence is an important and fundamental factor to ensure excellent customer service. The mail room must be a secure, organized space, so that sensitive data is protected at all times and disseminated timely. Through our many years of experience (we receive and mail more than thirty million pieces per year) Team Noridian has established and documented thorough procedures to control this document flow while ensuring the protection of private health information.

We will offer the Department a state of the art, automated incoming and outgoing mail process modeled on Noridian Administrative Services', LLC, (Noridian's) award winning corporate mailroom and on Noridian's mailroom implementation for the Iowa Medicaid Enterprise (IME) in 2005. We will automate many of the previous paper-intensive, manual processes using mail opening machines, a sophisticated facsimile server system, high-speed imaging, and an Electronic Document Management System (EDMS) to control the flow of documents through all processes.

The use of these proven processes to manage all incoming and outgoing mail will assure the Iowa Department of Human Services (Department) that the strictest security measures are followed, that materials are opened and scanned upon receipt, and that images are uploaded and available to staff timely. We are confident that as the Department reviews this section, they will see the advantages that Team Noridian has to offer in performing this important function for the Healthy and Well Kids in Iowa (*hawk-i*) program.

Our Secure Management of Mailroom Activities Will be Modeled on Award-Winning Processes

■ *The mailroom plays a critical role in the receipt, issuance and tracking of correspondence. The TPA shall ensure that a process is in place by which mail is accurately tracked and distributed timely, original documents are copied or scanned, and returned to the sender timely, and requests for applications or other information are responded to timely.* ■

Team Noridian agrees with the Department that the mailroom plays a critical role in correspondence receipt and dissemination of information. The *hawk-i* program administrator must be able to manage and control all aspects of mailroom activities—from correspondence receipt to correspondence response. Team Noridian has solutions in place to do just that. We offer the Department an established facility that is ready to perform *hawk-i* mailroom activities; proven technology to open and prepare mail for scanning, store and route imaged documents electronically to appropriate staff; and established, documented procedures that will be tailored to meet *hawk-i*'s specific needs.

To administer the mailing and postage function for the *hawk-i* program, we will implement a mailroom in our existing Des Moines, Iowa office.

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By using our existing facility, we reduce the project management tasks associated with finding a facility and implementing security systems; allowing us to focus on establishing and training staff on processes and procedures that meet the specific needs of the *hawk-i* program.

Many of the processes and procedures that we will use for this mailroom will be modeled after Noridian's award winning corporate mail processes and Noridian's most recent mailroom implementation for the IME in 2005. We will use our EDMS, OnBase as the repository for imaged documents and as the tool to manage, store, and retrieve document images. In addition, OnBase will allow for the electronic routing of documents through workflow processes. Using OnBase workflow processes will eliminate the need to distribute original paper documents.

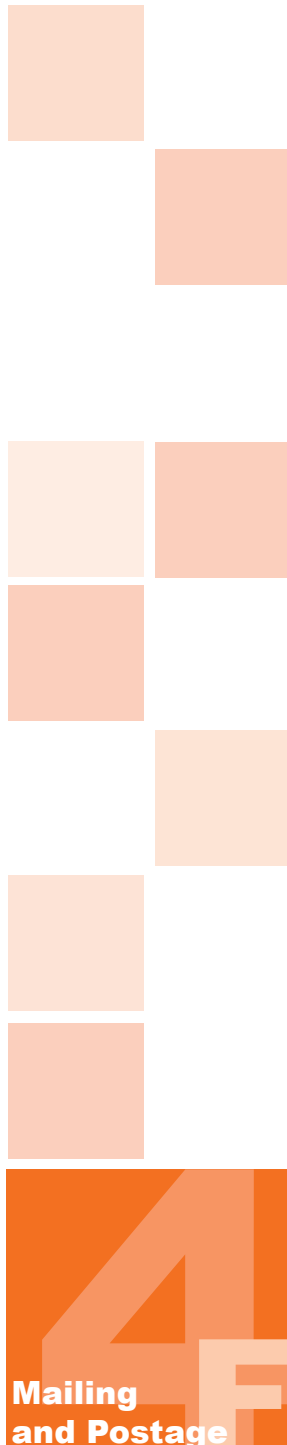
Imaging

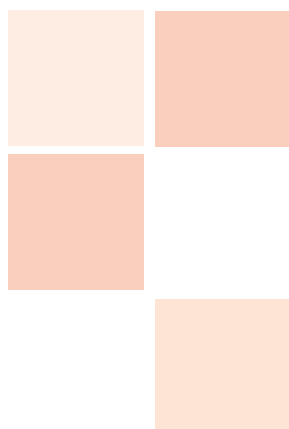
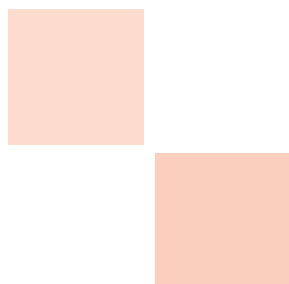
Team Noridian entered the realm of electronic imaging over 10 years ago with the development and implementation of a claims imaging system. Since then, we have enhanced our imaging processing capabilities while integrating intelligent sorting, routing, and workflow process systems. Team Noridian is extremely qualified to perform all imaging activities and the automated dissemination of correspondence to the appropriate business units. We currently scan 80 pages per minute and image the majority of paper claims, correspondence and attachments for our different healthcare lines of business, which amounts to scanning and imaging over 20 million documents a year. Team Noridian's scanning and document imaging solution uses proven technology that allows us to scan, electronically sort, and index batches of assorted documents before dispatching them to individual functional area queues within OnBase, our EDMS and workflow system. Team Noridian also uses OnBase to index and distribute electronic mail, facsimiles, and information received through phone calls in the same manner as incoming mail.

Workflow

Once we electronically image and identify all paper correspondence, a correspondence routing workflow configuration in OnBase routes the documents to the appropriate functional area for processing. Figure 1-4F (Routing of Correspondence) illustrates the routing of all correspondence documents scanned and delivered to the different business units.

Within each functional area, we implement a workflow, allowing each area to process incoming correspondence. The workflow configuration for each functional area is similar, and we work the correspondence using a standardized process. There are time parameters built into each workflow by document type so that the individuals working the documents are automatically notified when the response is due. The Q/Care system will be used to generate all outgoing correspondence based on procedures and timers necessary to support the Department's requirements.





This process automation results in an integrated, secure correspondence solution that lower costs and improves quality and performance. It allows our Enrollment Customer Service Specialists (ECSRs) to have all correspondence automatically organized and readily available at the “click of a button”, which ultimately enhances customer service by assuring timeliness when entering application data in Q/Care, responding to client requests or when an ECSR needs additional information to finalize a child’s enrollment.

Receipt and Dissemination of Information will be Automatically Controlled Through Our Electronic Document Management System

■ *Requirement 3F.1 - Dissemination of Information. The TPA shall distribute outreach materials, application forms, or other materials developed and produced by the Department to any organization or individual making a request of the TPA for such materials. Generally, requests*

for quantities of applications and other printed material are made directly to Iowa Prison Industries for dissemination. However, the TPA shall be responsible for filling any requests made directly to the TPA for orders of less than ten (10) items and for forwarding requests for larger quantities to Iowa Prison Industries.

Exception: The TPA shall be responsible for maintaining a Web site for receiving and processing free and reduced meal participant lists submitted by Iowa schools in an electronic format defined by the Department. The TPA shall be responsible for creating labels and printing a pre-designed letter, mailing applications and other outreach material to the families of children identified through this method. ■

To effectively manage the receipt and dissemination of information, Team Noridian will develop a centralized system to control documents, facilitate quality, and enable the tracking and monitoring of documents. Team Noridian will use OnBase at the core of this centralized system to manage **hawk-i** correspondence including:

- Requests for materials or application forms received by telephone or written correspondence;
- Requests received through electronic mail;
- Requests or correspondence received via the Web site;
- Requests received through facsimiles; and
- Historical case information we may need from the incumbent.

The use of OnBase eliminates paper, increases processing timeliness, and improves accuracy with a three-to-one cost benefit ratio. In addition, the use of an electronic document management and workflow system allows increased flexibility when it is necessary to address **hawk-i** program changes due to new regulations or Department requests.

Requests for Materials or Forms

When our ECSRs receive a request for materials or forms by telephone, written correspondence, electronic mail, facsimile, or the Web sites, they will log the request using Q/Care's Communications Log application. At scheduled intervals during the day, Q/Care will generate a file with all the requests and transmit it to OnBase. OnBase will use this file to electronically initiate a workflow process that moves the requests immediately to a queue for processing by our mailroom staff. By transferring the responsibility of processing the request to the mailroom staff, the ECSRs who created the request can continue to focus on answering calls or inputting data from written correspondence. When we receive requests for more than 10 applications or other printed items, the OnBase workflow will identify those and route those requests to a separate queue. Mailroom staff will monitor this queue and send these requests to Iowa Prison Industries for completion.

Electronic Files with Potential Eligible Children. We will use OnBase to facilitate processing of electronic files received from schools and school districts that list potential eligible children for enrollment in **hawk-i**. The schools will submit the lists of children using the **hawk-i** Web site. We will then use OnBase to extract the information from the electronic file and initiate a workflow process to get the information entered into the Communications Log within Q/Care for processing and audit trail

purposes. As OnBase processes the file, it will split out each name and address from the file and then send each name to a queue to await completion by mailroom staff. By splitting this list in this manner, multiple mailroom staff, rather than just one, will be able to complete the task of creating labels and mailing the Department's preprinted enrollment letter and application to the family or caregiver of each child listed in the file.

Historical Case Information. Understanding that we may need to bring in electronic images from the incumbent for historical case information, we will work with the Department to define the best solution to transfer this data. We plan to use OnBase to store this information. In our Medicare transitions, we have accomplished this transfer of data by working with the incumbent to create an index file containing the document type, index information (such as member number, name, address, data received), and a file path to the image files. Team Noridian and Department staff can then bring that index file, along with the corresponding image files, into OnBase for retrieval.

Our Incoming Mail Processes Emphasize Security and Control

■ *Requirement 3F.2 – Incoming Mail. The TPA shall ensure:*

- *That all incoming mail, including faxes, are opened and date stamped daily with an identifiable stamp;*
- *That all incoming mail, including faxes, is distributed at least once daily to appropriate staff;*
- *Original documents received are copied or scanned and the originals returned to the sender within two (2) business days from date of receipt, prior to distribution. The TPA shall ensure that copied and scanned documents are complete and legible (e.g. both sides of a two-sided document, all pages, etc.)* ■

Our mailroom in Des Moines, Iowa will fully meet the needs of the **hawk-i** program. Our mailroom procedures are fully documented and readily available at our employees' fingertips through our online process document system. These process documents provide step-by-step procedures on how to complete each task to satisfy overall document control, timeliness, and quality standards. We will be able to use most of our current mailroom procedures, which we have updated over our many years of experience in operating large-scale mailroom operations, for this project.

Process for Receiving Mail

When Team Noridian receives mail, the Mail Processors will enter the secured area to begin processing the contents of the envelopes. First, the envelopes will be placed into a jogging station. This jogging station shakes the envelopes to shift the contents to the bottom of the envelope. After the envelopes have been opened, the Mail Processors will remove the contents of the envelopes. Team Noridian requires a security procedure referred to as 'dual custody'. The concept requires that any time mail is opened, or checks are handled, at least two staff members are in close proximity of each other. Close proximity is defined as directly next to, directly across from, or directly diagonal from each other.

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The Mail Processors will scan both sides of all correspondence to ensure we capture and image all document data for retrieval and viewing. As the scanners image the documents, they will assign and imprint a unique document control number on each page, which will be one of the keys used for document retrieval in the future. This unique control number will include the current date in Julian format so it also serves as a date of receipt stamp. We rely on this control number and index data to track individual images throughout processing in the OnBase system. As they scan documents, our Mail Processors will watch on a monitor to make sure the resulting images are legible and that each page is imaged. After scanning is complete, the hardcopy documents will be archived in our storage facility.



All document images will be transmitted with their respective index data to the OnBase workflow system and ultimately the Q/Care system. We will complete this transmittal task several times a day to distribute work quickly to the staff members within the different business units. OnBase will automatically schedule and distribute work by work type, staff member, or other criteria defined by the Department. The queues can be overridden so that an authorized supervisor can redistribute work manually, if needed.

Team Noridian will use a bank lock box system to collect premium payments; however we realize that some premium payments might make their way to the mailroom through regular written correspondence. Therefore, an important function of the mailroom is to safeguard these payments. As described previously, we use a dual custody process to open mail; thereby, ensuring that adequate control is in place to safeguard these payments. We have strict and specific disciplinary measures in place for when the dual custody policy is not followed. When an envelope is found to contain a check or money, both the opener and dual custody partner are required to verify the number of checks and the dollar amounts, write the number on the envelope, initial the envelope, and deposit the envelope and its contents into a locked box within the mailroom. The Team Leader or a senior Mail Processor will control the keys and retrieve the contents of the locked boxes. The Team Leader or senior Mail Processor will scan the check(s) and all associated correspondence, log the details of the check(s), and prepare the deposit once we scan all the checks.

Facsimiles will enter the OnBase system through a centralized facsimile service, described in Section 4C (Customer Service). Incoming facsimiles will be routed at the front end of the process, allowing them to be classified and indexed like any paper correspondence that we image. Electronic mail will also be systematically routed through OnBase workflow processes to be worked by staff, which allows employees to save the time it would typically take to receive and manually archive electronic mail messages one by one. OnBase's ability to capture document images, facsimiles, and emails and create relationships between these forms of written communication provide a powerful mechanism for storage, retrieval, and archival of all documents and images related to a unit of work.

There will be situations when Team Noridian will receive original documents in our facility. When the Mail Processors identify an original

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document, they will insert a cover sheet to mark the document as original as they prepare them for scanning. The scanning process will image the documents and then the Mail Processor will pull out the originals so they can send them back to the family. Team Noridian will return the original documents within the two business days required by the Department.

Team Noridian Will Ensure the Timely Processing of Outgoing Mail Through the Use of Automated Timers and Workflows

■ *Requirement 3F.3 – Outgoing Mail. The TPA shall ensure that all requests for applications or other program information are mailed within one (1) business day of the request. This includes requests made verbally via the telephone system, in writing via U.S. mail or online via the **hawk-i** Web site.*

For the Free and Reduced Meals Program, the TPA shall mail the applications or other program information within three (3) business days from the day the names were entered on the Web site by the schools or school districts. ■

As mentioned previously, we will use a combination of OnBase and Q/Care's Communications Log application to track all incoming requests for applications or other program information. We will configure the OnBase workflow system with process timers to make sure we address designated work at Department-defined intervals or pre-set times. By using OnBase process timers, we will ensure that we mail all requested documents within one business day of the request. Using the timers, we can also notify management of work that is in jeopardy of missing timeliness requirements. These alerts enable management to be proactive in responding to approaching deadlines by allocating additional staff or authorizing temporary overtime to meet production and timeliness measures. The Communications Log will maintain a log of all outgoing mailed documents.

We will configure a special OnBase workflow for processing the electronic list of names potentially eligible for the Free and Reduced Meals program that the schools or school district entered on our Web site. As OnBase electronically receives the lists, it will initiate a workflow process to get the information entered into the Communications Log within Q/Care for processing and audit trail purposes. We will again use timers to ensure that the application and associate information regarding the **hawk-i** program are mailed within three business days.

Postage Will be Tracked Through Accounting Codes

■ *Requirement 3F.4 – Postage. The TPA shall track, document and invoice for submission to the Department, on a monthly basis, all postage costs incurred for all materials for which the TPA is responsible for dissemination, as defined in this RFP.* ■

Team Noridian's mailroom staff for the **hawk-i** project will prepare the mail pieces in accordance with United States Postal Services (USPS) regulations for First Class Presort discounted rates. We will use postage meters to print exact postage on letters, flats, parcels, and postcards. Team

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Noridian will establish accounting codes and procedures to track and document who is using the meter and for what purpose. Every time the meter is used, we can track the cost of the postage based on the code that's entered. On a monthly basis, Team Noridian will invoice the Department for this expense.

Courier Service Will be Through a Separate Secured Entrance

■ *Requirement 3F.5 – Courier Service. The TPA shall utilize the courier service furnished by the Department for processing the mail.* ■

Our mailroom for the **hawk-i** project will have a separate, secure entrance to allow the Department's courier to deliver and pick up mail. We understand the courier will deliver mail for the **hawk-i** administrator and the co-located income maintenance workers. Team Noridian's Mail Processors will have all outgoing mail prepped and ready for courier pick up and delivery to the Hoover State Office building.

Returned Mail Will Be Handled Through Specially Designed Workflows

■ *Requirement 3F.6 – Returned Mail. The TPA shall:*

- *Receive and process all undelivered mail daily.*
- *Update the applicant's mailing address and resend the mail within one (one) business day when the U.S. Postal Service provides a forwarding address.*
- *Make two (2) attempts to contact the applicant or Enrollee at the telephone number on file in order to obtain an updated address if the U.S. Postal Service does not provide a forwarding address.*
- *Document the eligibility file within two (2) business days indicating that mail had been returned as undeliverable, the type of document that was returned, the efforts taken to obtain an updated mailing address, and the date the material was resent if applicable.*
- *Continue to mail outgoing correspondence to the address on file while researching the new address.* ■

Team Noridian will build specific workflows within OnBase for mail returned as undeliverable to ensure all required procedures are followed. We will scan undeliverable mail (both the envelope and contents) and OnBase workflow processes will deliver the images to the appropriate business unit queue for processing. As work is received into the undeliverable mail queue, our staff will research each undeliverable item immediately to locate a valid address. If the USPS does not have an updated address, we will make two attempts to contact the enrollee's family by telephone to verify the address. At all stages of research, we will track the dates, actions, and results of all attempts to find the correct address within Q/Care's Communications Log application and the enrollment system.

Per the Department's requirement, we will continue to mail information to the address on file while we are trying to locate the new address. When the correct address is located and confirmed with the family, we will update the systems and re-send all material to the enrollee.

Our Q/Care Communications Log Will Facilitate the Tracking of Mail

■ Requirement 3F.7 – Tracking of Mail. The TPA shall:

- Maintain and utilize an incoming mail log that tracks the type of mail, date received, and the disposition of such mail (e.g. what happened to returned mail).
- Develop and utilize an outgoing mail log that tracks the type of mail to include, but not limited to, applications and other materials, and date mailed.
- Develop and maintain a returned application log that contains complete information specifying the reason(s) an application was returned to the applicant. ■

Within Q/Care's Communications Log application, we will maintain and use an incoming mail log to track all incoming mail information and an outgoing mail log to track outgoing mail information, including applications returned to applicants. Using multiple sorting and filtering capabilities, we will be able to generate reports from both of these logs.

When each document is scanned, OnBase assigns it a unique control number that contains the date of receipt. At the time of scanning, each document also is assigned a specific type. The type and unique control number assigned to each document are used to create an automated log for the transaction that can be used for research and reporting. This log is then sent to Q/Care's Communications Log to create a record of incoming mail.

We will also use the automated log features of Communications Log for outgoing mail. We will develop a specific workflow for logging all outgoing mail. Mail automatically generated by the system will be logged through the automatic features of the system. For pieces that are sent manually, the information will be logged through an online interface with the Communications Log system.

When we need to return an application to the applicant, we will log the information in the outgoing mail log built within Communications Log. The online interface will include a reason for returned applications.

Conclusion – Our Experience in Handling Huge Volumes of Mail Has Prepared Us for Managing all Mail Activities

Team Noridian has years of experience in administering health care programs, and that experience has required the careful management of huge volumes of mail received and sent through multiple types of media. We offer the Department a secure mailroom facility as well as proven solutions for mail opening, tracking, imaging, control, workflow management, and document retrieval. We fully understand the sensitive nature of personal health care information and have established security guidelines, procedures, and infrastructures designed to protect that information. Our automated procedures have resulted in significant returns on investments for the Team Noridian partners and we are confident will also bring the same results to the Department. We look forward to implementing these procedures to support all of our customer satisfaction activities for the *hawk-i* program.

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System Requirements

System Requirements

Team Noridian ADVANTAGE

- Noridian Administrative Services, LLC (Noridian) and Infocrossing Healthcare Services, Inc. (Infocrossing) have worked together as a team for over 10 years to successfully administer healthcare programs using superior technology across all of our operations.
- Q/Care and OnBase are state-of-the-art proven system solutions for supporting the administration of the **hawk-i** program.
- Team Noridian's proven software development methodologies and quality processes have enabled us to meet or exceed system commitments for delivery and operation consistently with a high level of quality and predictability.

System Requirements

The Team Noridian partners offer complementary capabilities that assure the Iowa Department of Human Services (Department) that the Healthy and Well Kids in Iowa (**hawk-i**) program will be administered effectively through the use of proven, secure, state-of-the art information technology solutions. As the prime contractor, Noridian Administrative Services, LLC (Noridian) has a proven record of administering healthcare programs for over 60 years. We will leverage that experience to make sure the right processing environments and application solutions are in place to support the **hawk-i** program.

As Noridian's subcontractor, Infocrossing Healthcare Services, Inc.'s (Infocrossing's), capabilities and contract experience add an extensive pool of knowledge to the State of Iowa's **hawk-i** program. As a full-service, outsourcing vendor supplying healthcare Information Technology (IT) systems and services, Infocrossing is one of the healthcare industry's most respected sources for solutions and services in the Medicaid, Medicare, commercial payer, and health plan market. They have a proven track record of remarkable performance in their areas of specialization. For the **hawk-i** program, Team Noridian offers the Department an integrated, cost-effective solution that increases their ability to adapt to change while assuring timeliness and accuracy.

The first component of this integrated solution is Q/Care, maintained and operated by Infocrossing. Q/Care is a powerful, rules-based system with a user-friendly graphical interface and advanced reporting capabilities. It uses IBM's latest mainframe technology; thereby ensuring the reliability and dependability customers have come to expect. As one of the market's first and most robust rules-based solutions, Infocrossing can configure Q/Care to meet specific Department requirements for fast implementation without tedious, costly customized coding.

The second component of our systems solution is OnBase, an Electronic Document Management System (EDMS) by Hyland Software that Noridian maintains and operates. OnBase is a proven Commercial-Off-the-Shelf (COTS) product used to control all incoming transactions, track the transactions by means of an automated workflow, and successfully process the transactions through final resolution. OnBase can facilitate the electronic creation, management, and distribution of the applications, correspondence, and system reports originally received on paper or electronically. It can also provide sophisticated processes for routing these electronic transactions through established workflows.

By implementing Team Noridian's proposed solution, the Department will mitigate system-related risks to the **hawk-i** program. Our OnBase and Q/Care components have a successful record in supporting different healthcare programs, and they are backed by our strong internal controls and quality management practices. By implementing our technology solution, the Department will be able to cost-effectively meet the expanding future needs of the **hawk-i** program.

We Will Design our Databases Based on the Specific Requirements of the *hawk-i* Program

■ Requirement 3G.1 – Database. The TPA shall collect data and maintain a reporting system that meets both state and federal requirements. Data processing requirements shall include, but may not be limited to:

- a. Case number. A unique case number shall be assigned to each eligible group. The case number shall be used for tracking and identification purposes. While members of a family or eligible group may change, the case number shall remain the same. If some members of a family leave the original eligible group and become eligible as a separate family unit, a new case number shall be assigned to the new group.

It is possible to have more than one case number within a household. This would occur in situations where eligible children from one family live with another eligible family. For example, an eligible child resides with an aunt and uncle and their eligible children. In this case, each eligible unit shall be assigned a unique case number even though the head of the household is the same on both cases.

Example:

Mr. and Mrs. Jones have 4 children:

Tom, age 10

Alison, age 13

Michael, age 17

Rachel, age 18

The Jones' apply for **hawk-i** and are assigned a case number of 123456-00. Rachel loses eligibility for **hawk-i** on her nineteenth birthday and is cancelled from the program. Two years later, Rachel (now 20 years old), applies for **hawk-i** for her one-year-old child. A new case number shall be assigned to the new family unit. The historical data for Rachel shall reflect her eligibility on the original case as a child and her current status as a parent on her child's case.

- b. Head of household. Each case shall be filed by the name of the person identified as the head of the household on the application. This shall include the person's first and last name, middle initial, and title (Jr., Sr., etc.), if any. The head of the household may be either parent or another person who is responsible for the child. If the child is an independent living situation (i.e. an 18-year-old living on their own), the child may be the head of the household. All correspondence shall be directed to the head of the household.

- c. Demographics:

- First, middle initial and last names of people living in the household and their relationship to the head of household
- Social security number when provided
- Date of birth
- Citizenship verification indicator (if required by federal law)
- Identification verification indicator (if required by federal law)
- Mailing address
- Residence address
- Telephone number
- County code
- Gender
- Race and Ethnicity
- Poverty level
- Spoken language indicator
- Pregnancy indicator

d. *Status and eligibility information. The system shall capture and store unique program status and eligibility information for each case including, at a minimum, the following program status requirements:*

- *Current and all historical begin and end dates of eligibility;*
- *Current and all historical eligibility determinations (including but not limited to, the sources used to determine eligibility);*
- *Current and all historical data of all Enrollee and Case related financial accounts on cost sharing;*
- *Current and all historical data on Health and Dental Plan enrollment and capitation financial accounts*

e. *Individual information. The system shall support the collection, maintenance, and storage of individual Enrollee data. Each Enrollee shall be assigned a unique identification number. This identification number shall remain with the Enrollee regardless of the case number.*

The TPA shall ensure that the system, at a minimum, supports the following individual data collection requirements:

For example:

*Matthew and Jane Brown apply for **hawk-i** coverage for their son, Jacob Brown. The case is assigned number 98321. Jacob is assigned a unique identification number of H18745. The Browns get a divorce and Jacob now lives with his mother who has remarried. Mother and stepfather, the Andersons, apply for Jacob. The case number for the Anderson family is 85479. Jacob's identification number remains the same, H18745. The system will reflect that Jacob is inactive on case 98321 and active on case number 85479.*

- *Collects, maintains, and stores individual demographic and income data required to determine eligibility for **hawk-i**;*
- *Accepts Enrollee information input in online and in batch form; captures, stores and maintains required data elements in formats that adhere to the requirements developed for a Department-wide or state government-wide database (e.g., names, address(es), and telephone number(s), income, etc.*
- *Stores and maintains complete records for both active and inactive Enrollees, with inactive records systematically archived on an electronic file according to defined schedules and criteria defined by the Department. Data shall be stored online for thirty-six (36) months. Files may be archived and shall be kept for a minimum of seven (7) years. If the term of the contract expires before seven (7) years, the data shall be turned over to the Department. Stored data files will be presented to the Department electronically, or on paper.*

f. *Maintain data files that are compatible to the Department's and the Health and Dental Plans' data files. The data system shall be accessible to the Department. The contractor shall pay the cost of any hardware, software, and license required to allow the Department's access. The TPA shall provide adequate training to the Department to use the system.*

g. *A record of all customer complaints, including specific concerns and questions, and any answers, information, or actions taken by the TPA staff in response.*

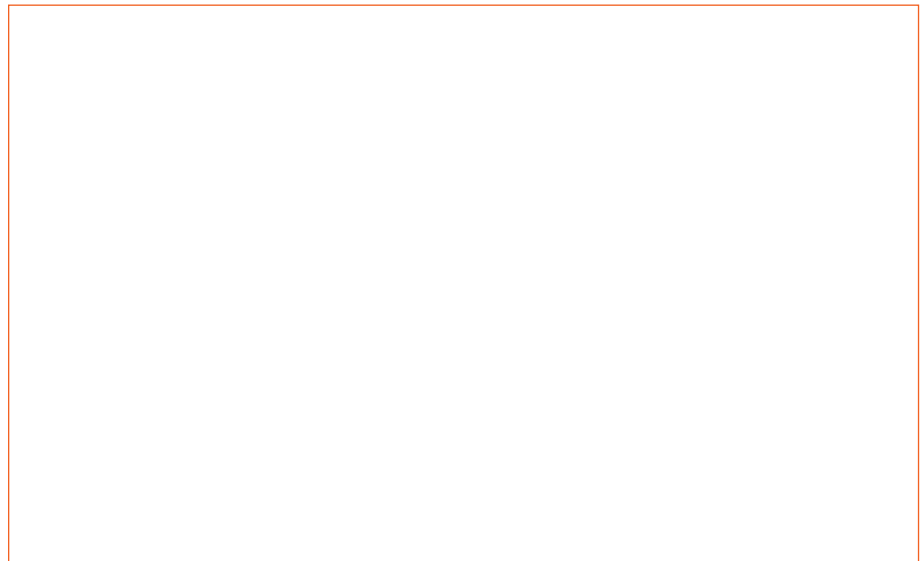
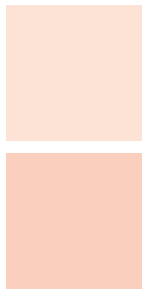
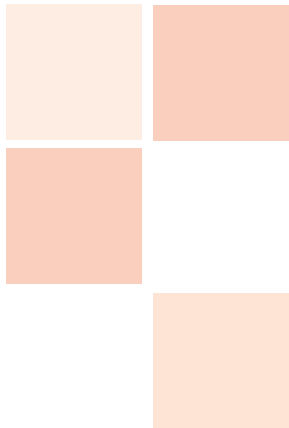
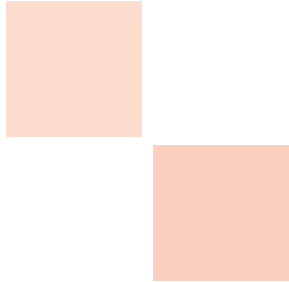
h. *A record of all customer inquiries, including specific questions and any answers, information, or actions taken by TPA staff in response.*

i. *Record online notice history in descending chronological order with the capability to recreate notices exactly as they were originally printed and in English, even if originally printed in another language.*

j. *A record of all entries and adjustments made to Enrollee or Case financial records. ■*

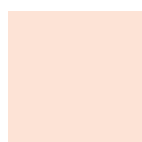
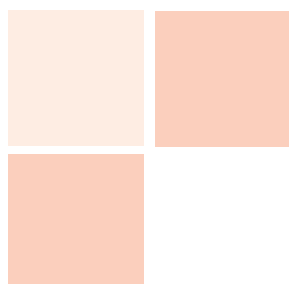
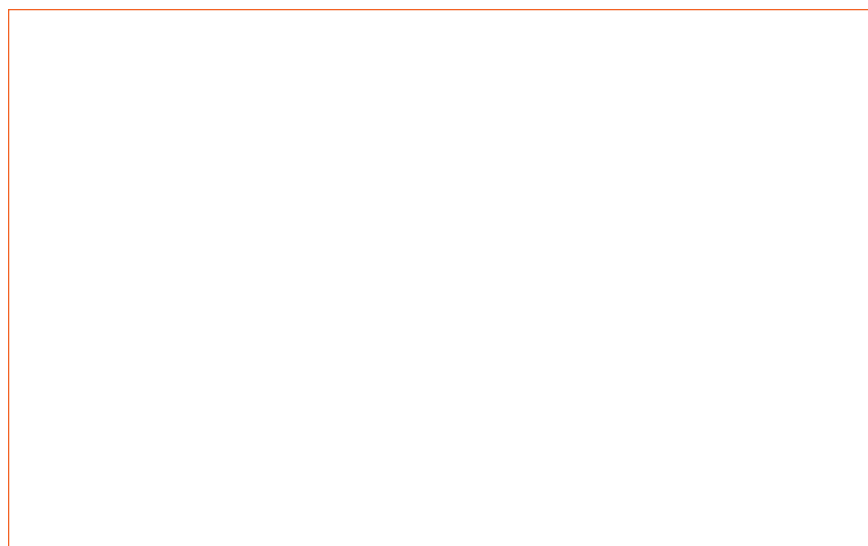
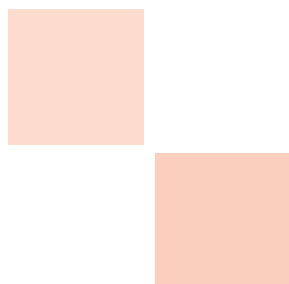
During the Data Conversion, Requirements Analysis and Validation, and System Design tasks, Team Noridian will work with the Department to design the integrated databases that we will use for the administration

of the *hawk-i* program. We will use our current file structures and data elements within Q/Care and our OnBase EDMS as a starting point, and as needed, add the elements necessary to address the specific needs of the *hawk-i* program.



In Q/Care, eligibility segments for each enrollee have a begin date and end date which can be viewed online. Figure 2-4G (Eligibility Segments) shows a sample screen.





The head of household will be the main identifier of the case and all correspondence regarding the enrollees associated with the case, will be directed to that individual in either English or Spanish, depending on their language preference selection. The Q/Care system will accept enrollee information in a Health Insurance Portability and Accountability Act (HIPAA)-compliant batch file or via the web. The Q/Care eligibility system will retain full demographic information including all of the data elements indicated in this requirement for the head of household and all individuals living with the head of household.

As stated above, Team Noridian will use both Q/Care and OnBase to maintain an enrollment and eligibility history for each enrollee associated with a case, including the sources and information used to make the actual eligibility determination. Using Q/Care's Communications Log subsystem, an online chronological history will be maintained of all system generated and manual activities associated with each case and at an individual enrollee level. This will include, at a minimum, any changes or additions to the case / enrollee files, records of all telephone contact, records of all correspondence sent and received, notes on any complaints and the resolution, payment history, and tracking of all survey results, if applicable. An audit trail is stored for all updates made in any of the Q/Care subsystems; this audit trail includes the identifier of the user that made the change, what was changed, and when the change was made.

OnBase will electronically house all case file documentation collected to support application processing, eligibility determination and associated enrollee financial activities. OnBase will maintain copies of all original correspondence sent in English and the enrollees preferred language.

The Q/Care Billing subsystem tracks and retains all premium payment activity through its accounts receivables system including all premium payments, adjustments, records of the capitation payment owed, any refunds, and any notes or customer interaction associated with the financial information.

The Q/Care system provides on-line query and adjustment capabilities including full or partial enrollee name or ID, premium bill number, check number, invoice type, due date, or status. All information is available for statistical reporting such as determining the number of enrollees who lose eligibility for non-payment of premiums.

Team Noridian will work with the Department and the Health and Dental Plans during the Transition Phase to ensure file formats and data elements are compatible for both sending and receiving data. We will store inactive and active files for each enrollee and will maintain online access of historical data for at least two years and offline storage for a minimum of seven years of historical data. If the term of the contract expires before seven years, Team Noridian will turn the data over to the Department either electronically, or on paper.

Our Eligibility and Financial Systems are Fully Integrated

■ *Requirement 3G.2 – Integrated System. The program data systems shall support fully integrated eligibility, enrollment and financial/accounting systems. Refer to Section 3B.1.3 Tracking Applications for requirements regarding application tracking. The TPA shall establish and maintain an eligibility determination record for each application for the initial determination and for each subsequent determination for additional eligibility periods. The eligibility determination record shall show the exact calculations used to determine eligibility and shall be a permanent record for auditing purposes. The system shall allow case records to be readily printed in an easy to read format for use as requested by the Department.* ■

Q/Care's subsystem components provide the integrated eligibility, enrollment and financial/accounting system required to support the administration of the **hawk-i** program including:

- Online Enrollment and Eligibility
- Accounting including all checking account balances and refunds
- Capitation Payments
- Premium billing and reconciliation
- Mailing and logging surveys
- Tracking of all correspondence and telephone communication

The Member and Billing subsystems are integrated to provide comprehensive online eligibility and premium billing functions. These subsystems provide extensive functionality including payments, receivables, a detailed General Ledger (G/L) transaction interface and a complete history file. A flexible, easy to use cash management system allows Team Noridian and the Department to quickly apply and adjust payments, which immediately displays the updated eligibility status.

Team Noridian's OnBase application workflow system integrated with the Q/Care enrollment / eligibility system is the mechanism that will be used to maintain all correspondence associated with eligibility determination. As discussed in Section 4B (Application Processing and Eligibility Determination), the configuration of OnBase for **hawk-i** enrollment applications maps the information received either through paper or

electronically to the appropriate electronic business workflow process. For applications received on paper, OnBase extracts keywords/indices either manually or automatically if available from a bar code on the paper application. OnBase also extracts keywords/indices automatically if we receive the applications and renewals electronically via the Web. Once the keyword/index information is gathered, automated procedures route the imaged documents and data to the enrollment workflow queues. The enrollment queues then automatically assign an identification number to begin application workflow processing.

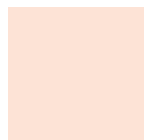
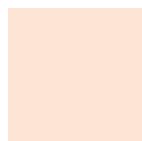
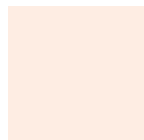
OnBase workflow replaces the manual processes of routing documents from desk-to-desk, from department-to-department or main office-to-remote office. OnBase workflow ensures that appropriate checks and balances are in place to assure consistent processing of documents from receipt to completion. Users adapt to the workflow tool very quickly, since the workflow process is configured to support the steps of the business process they routinely perform manually. OnBase workflow enhances the user's business process to use an electronic virtual inbox or queue. The user receives new work items (documents), performs tasks, routes documents, and monitors workload in his/her queue. We monitor and manage the OnBase queues by viewing the queue counts, setting system parameters to create automatic alerts, running system reports and reassigning workload to others when necessary. Besides using the elements requested by the Department for tracking applications, we can easily modify our application workflow solution to use additional elements for tracking.

We also configure timers to create an alert regarding the document(s) that need follow up or escalation in order to keep the document moving through its workflow process according to the *hawk-i* program requirements. Within the *hawk-i* enrollment process, we will establish work processes with automated notification to supervisors, coworkers, or others when certain events occur.

Once OnBase routes an application or renewal to an Enrollment Customer Service Representative (ECSR), they will enter the application information into the Q/Care Member subsystem. In the case of electronically received applications, Q/Care will automatically populate many of the enrollment data elements. The ECSR will ensure that all information required is present and if not, will make the required follow-up phone calls and send the necessary correspondence requesting further information in the applicant's preferred language. OnBase workflow will automatically send additional follow-up correspondence or notify the ECSR that they need to take additional action when we do not receive the requested information from the applicant in a timely manner.

The Q/Care Financial Subsystems provides a flexible, easy to use cash management system which allows Team Noridian and the Department to quickly apply and adjust payments, which immediately displays the updated eligibility status.

**System
Requirements**



Team Noridian will make any changes, additions, or deletions from our original report layouts to produce acceptable reports using the Department's input. Once the Department approves the formats, Team Noridian will identify all data elements needed and the source of the elements to determine which system(s) we will be used to produce the reports.

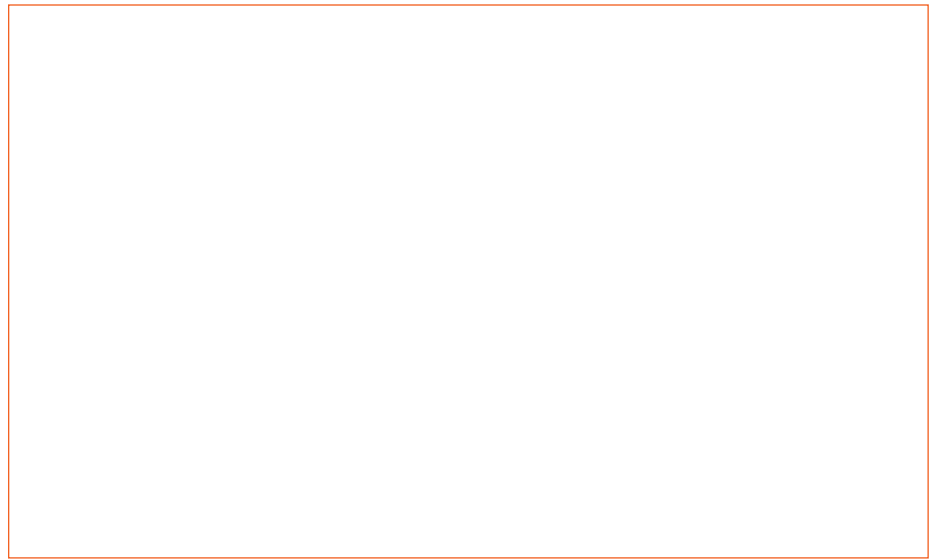
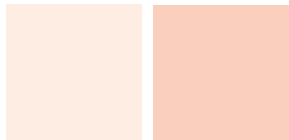
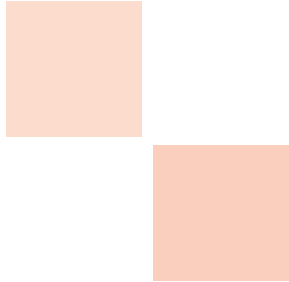
The Member subsystem is only one of the integrated subsystems within Q/Care supporting the **hawk-i** program. Other Q/Care subsystems include the Communications Log, Correspondence, Billing, and Accounting and they are all fully integrated with the Member eligibility subsystem.

The Premium Payment Collection is Part of Q/Care's Integrated Billing System

■ *Requirement 3G.3 – Premium Payment Collection. The TPA shall establish and maintain an Enrollee payment accounting subsystem with documented internal controls to track all **hawk-i** Enrollee's premiums. This system shall track all initial and ongoing premiums and method of payment such as check, money order, cash, etc. The TPA shall also provide online capability to the Department for accessing current and updated case payment historical activity. The TPA shall ensure that the system, at a minimum, supports the following functions:*

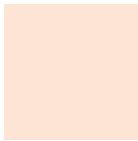
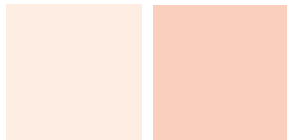
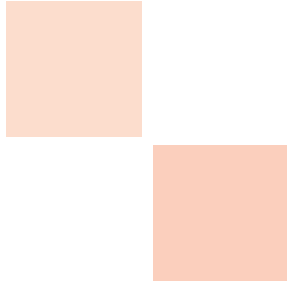
- Calculation of premiums based on guidelines developed by the Department;
- Tracking premium due dates;
- Issuance of premium notices;
- Issuance of reminder and overdue notices;
- Maintain, at a minimum, accounts receivable and accounts payable system, including the acceptance and posting of premiums for future months;
- Tracking the once per enrollment period thirty (30)-day grace period;
- Maintains statistical data on the number of Enrollees who lose eligibility for non-payment of premiums.

The system shall also be able to grant eligibility to an otherwise ineligible child pending an appeal decision or continue enrollment pending an appeal decision. ■



Once Q/Care establishes a new enrollee, we determine the premium due based on the Department's policies. Premium bills can be generated at case level (for families) or subscriber level (for individual enrollees), and a combination of both. We can establish enrollment plans within Q/Care's Billing subsystem that require premiums to be billed, while other enrollment plans do not. The following is a partial list of current categories used for calculating premiums:

Q/Care's flexible business rule capabilities control premium billing functionality. Q/Care sorts enrollees into groups and subgroups for premium calculation and billing, making it simple to make annual premium changes. Additional Q/Care functionality includes:



The system can run billing each day of the month, allowing Q/Care to bill different sets of enrollees or enrollment groups at different intervals. For example, the Department can choose to bill all members/groups the same day each month or space them out during the month. Team Noridian will work with the Department to determine the billing schedule.

The payment schedule and amount due will be set up in the receivables file along with triggers that the receivables subsystem uses to track the 30 day grace period established by the Department. Cases that do not require a premium will also be set up in the receivable file with the “premium not required” indicators turned on so Q/Care will not send out a premium notice.

During the Requirements Analysis and Validation and System Design Tasks, Team Noridian will work with the Department to establish schedules for sending reminder notices, past-due notices, and cancellation notices based on the thresholds established. For premium notices, we propose sending a monthly one-page bill with an enclosed pre-addressed, postage paid business reply envelope. This approach allows us to send current information with current addresses, and allows us to more simply automate any past due notices. We will also work with the Department during the Transition Phase to develop system interfaces and functionality needed to process automated bank withdrawals and credit card payments.

When premium payments are received (either via report from the bank Lock Box or through the mail), the payment will be scanned (cash is counted by two employees and noted on a receipt) and then routed to the Financial Specialist with the accompanying bill notice or other correspondence. The Financial Specialist will input the amount through an online screen and the system will post the amount to the receivable. The Financial Specialist will also note the method of payment along with

any applicable notes and the transaction identifier received from the bank deposit information. If the amount posted is greater than the receivable, the system will apply the balance to future receivables and set the necessary trigger dates associated with the future receivables. The Financial Specialist will receive an online alert notifying them that this occurred.

The financial system will track all activity related to the posting of premiums including due dates, amount due, amount received, amount posted to future payment(s) due, any reminder or past-due notices issued, and the cancellation of the enrollee due to non-payment.

In the event a family has paid in advance and later disenrolls for any reason, the system will create an accounts payable record for that family and calculate the amount the family overpaid based on the disenrollment date. During the Transition Phase, Team Noridian will work with the Department to determine how we will issue the refund through the state owned bank account.

As shown in Section 4C (Premium Collection, Capitation Payment, and Accounting) all information is available for statistical reporting such as determining the number of enrollees who lose eligibility for non-payment of premiums.

The Billing subsystem provides staff the ability to write-off bills, create debit/credit memos, transfer money from one subscriber to another (premiums can be applied for multiple children in a family), track the once per enrollment period 30-day grace period, issue premiums and overdue notices, and many other typical billing activities.

Premium Payment Reconciliation Will be Completed Monthly

■ *Requirement 3G.4 – Premium Payment Reconciliation. The TPA shall, on a monthly basis, complete program premium account reconciliation and financial statements in a format approved by the Department. The TPA shall track all premiums collected and reconcile all payment sources to the monthly bank statement to ensure a complete accounting and disposition of all premiums collected by the TPA.* ■

Q/Care maintains state bank accounts in the G/L subsystem, which automatically reconciles entries within these accounts based on payments and refunds. Batch jobs will be executed which will match all deposits to the receivables posted for the previous month's activities. The automated job will match by bank transaction number, check number (when applicable), and the amount. When there are discrepancies because the bank or receivable transactions do not match, the Financial Specialists will research and make any needed adjustments. The Financial Specialists will then report their findings to the Department.

To assist in payment reconciliation processes, Q/Care offers a variety of financial reports, including:

- **Lockbox error report.** This report identifies payments received for a member who is not on file. The payments are processed, but the items ultimately are shown on a Suspense Report.

- **Transmission reports.** Provides detail on items such as amounts, date, time, and totals.
- **Applied reports.** Details receivables posted to a case or enrollee.
- **Unapplied cash reports.** Used to identify accounts receivables that are not applied to open invoices. This occurs when the member/group is on file, but no premium is due because of the family's income status. Once resolved, the funds will be posted to the accounts payable system.
- **Credit reporting.** Details members or groups that have credit balances for the reporting period.
- **Delinquent reporting.** Can be generated based on user desired parameters for delinquency (e. g., one day past the due date, 30 days past due, etc.).
- **Suspense reports.** Details receivables that cannot be applied to an invoice, usually because the case ID or enrollee ID is invalid and a match cannot be made based on accompanying information.
- **Accounts receivable transaction reporting.** Provides detailed account activity. This report details all activity performed by staff.

During the Transition Phase, Team Noridian will work with the Department to fully review each of the currently produced reports and develop changes and / or new financial reports as needed.

Refund Subsystem

■ *Requirement 3G.5 – Refund Subsystem. The TPA shall establish and maintain a refund subsystem based on generally accepted accounting principles, with documented internal controls, that shall ensure timely, complete and accurate processing and payment of both automated and manual refunds of family premium payments.*

The TPA shall comply with the time frames for processing and paying refunds specific to each overpayment criterion, or adjustment as established by the Department. On a monthly basis, the TPA shall provide the Department with a full refunds report. The TPA shall maintain these records in accordance with established audit standards.

The TPA shall establish an Accounts Payable subsystem to track and age all unpaid refunds and all prepaid premiums. The TPA shall ensure that all refund checks returned by the post office are properly tracked as unpaid and the financial system is adjusted accordingly using generally accepted accounting principles. Enrollee payment history activity shall be updated accordingly. ■

Team Noridian will use the G/L subsystem within Q/Care to track and process refunds. Based on the timeframes established by the Department, the G/L subsystem generates a refund file that Q/Care uses to set up an accounts payable record, produce checks, and any related correspondence. The enrollee premium payment history will be updated as part of this process.

The G/L subsystem processes checks returned as undeliverable in the same manner. Once the returned check has been controlled and routed to the Financial Specialist, he or she will update the G/L subsystem with an indicator to prevent the generation of another check while the address is researched.

Team Noridian will deposit any returned checks into a State owned interest-bearing account that is separate from the account in which funds warranted by the State are deposited. Q/Care maintains the State

bank accounts in the G/L subsystem, which automatically reconciles all payment and refund entries within these accounts.

Team Noridian will work with the Department during the Requirements Analysis and Validation and System Design Task to define the required Refunds Report which will be provided monthly.

Team Noridian Will Work With the Department to Develop Medicaid Screening Algorithms

■ *Requirement 3G.6 – Medicaid Screening. The TPA shall establish, implement, monitor and maintain automated algorithms and systematic logics for Medicaid screening based on Medicaid's program rules. The automated algorithms and systematic logics shall conform to the Department's requirements and business rules.* ■

During the Requirements Analysis and Validation and System Design Task, Team Noridian will work with the incumbent and the Department to develop the full set of algorithms needed to screen for Medicaid eligibility based on Medicaid program rules. We will use existing policies, regulations, and algorithms in addition to our experience as the basis of our requirements gathering and fully document these requirements. As discussed previously in this section, we will ask that the Department be integrally involved throughout all of the requirements, design, development, and test efforts to ensure Team Noridian properly captures and implements the algorithms correctly. This approach helps mitigate the risk of Team Noridian determining eligibility differently than the incumbent. These algorithms and associated processes will be documented in our internal process documents which are described in Section 4H (Training) and 4J (Quality Management) and used as quality management checklists during quality reviews.

Our System Documentation and Training Documents are Kept Up-to-Date Through Our Internal Document Management Processes

■ *Requirement 3G.7 – System Documentation and Training. The TPA shall provide the Department or the Department's designee with full system documentation for the program and a user manual. Upon request of the Department, the TPA shall also provide the Department approved system training and provide technical support to the Department and participating Health and Dental Plans.* ■

Since our Q/Care and OnBase solutions are proven production systems installed at many different customer sites, Team Noridian is confident that the Department will find our current system and user documentation and training materials are up-to-date and clearly address their system and administrative expectations. Additionally, because our organizational culture has incorporated a firm focus on ensuring every stakeholder in every project receives the training they need, we proactively monitor our training programs and continually improve our processes to reflect lessons learned and maximize the effectiveness of our customer training services.

Sections 4A (Customer Service) and 4H (Training) have more detailed explanations of our training programs including system training. Section 4H (Training) and 4J (Quality Management) describe the documentation process which we will use to create all internal systems manuals, user manuals, policy manuals, and training manuals. Team Noridian will supply the Department with a full set of system documentation, which will be updated through our document control system as needed. Team Noridian will provide full technical support to the Department and participating Health and Dental Plans during the Transition Phase and as part of the ongoing *hawk-i* operations.

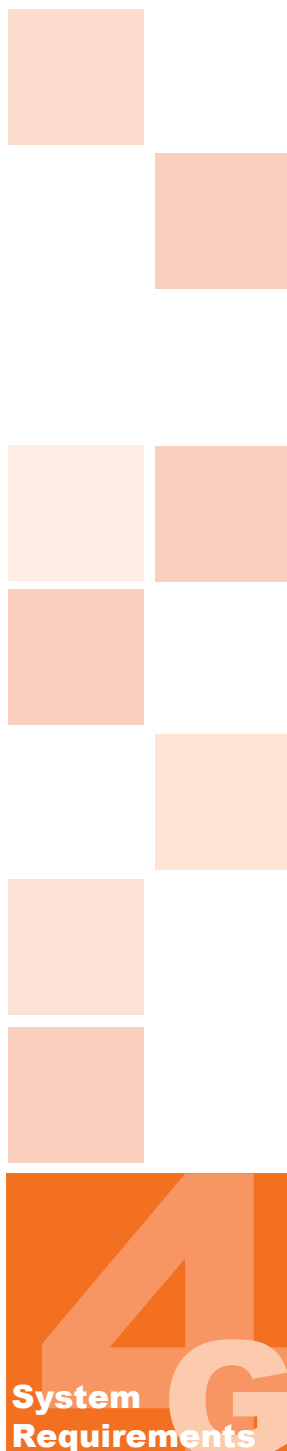
Our Systems Operations Plan and Configuration Management Plan Will Direct all System Maintenance Activities

■ *Requirement 3G.8 – System Maintenance. The TPA shall have a systems operations and maintenance unit whose purpose shall be to assure that the TPA's system is Fully Operational and complies with all administrative requirements within this RFP. Routine system maintenance shall be performed in a manner that does not disrupt the operations of the program.* ■

The Systems Manager, with support from a Business Analyst, is responsible for directing all systems operations, maintenance, and enhancement activities. In addition to the individuals who are directly responsible for the project, Team Noridian's data centers provide additional systems staff to manage the operational support services during both the Transition and Operations Phases. Systems staff is located at the Leonia Data Center and Phoenix, Arizona for Q/Care and at the Fargo, North Dakota facility for OnBase Operations.

Team Noridian will implement two plans that will cover the routine operations and maintenance of the system. The first plan, our Systems Operations Plan provides information on the processes we follow to ensure that the technical components of the application, application process, renewal process, Web site, and financial system are in compliance with established quality criteria and that routine maintenance activities do not disrupt operations. That plan will contain the following information:





Along with the Systems Operations Plan, Team Noridian will use a Configuration Management Plan to control any changes to the system. This plan will outline all applicable environments, libraries, forms, processes, and guidelines to ensure that the system changes due to maintenance and / or enhancements are strictly controlled and do not disrupt operations.

As part of our day-to-day maintenance activities, Team Noridian will support the Department by performing the following tasks:

- Regularly monitor all system performance measurement criteria and make adjustments as necessary
- Provide training needed as a result of new enhancements to the system
- Provide upgrades to hardware and software as needed in accordance with our Configuration Management Plan
- Ensure that upgrades to hardware and software are scheduled so that there is no disruption to service
- Maintain stringent controls over all software, data, Job Control Language (JCL), procedure, and copybook libraries in accordance with our Configuration Management Plan
- Perform emergency fixes as needed
- Inform the Department of all maintenance activities through reporting mechanisms which will be outlined in our Systems Operations Plan
- Apply regular releases to the systems. Team Noridian will treat regular releases as enhancements and they will be subject to the life cycle processes described in the following subsection.

System Enhancements Will be Developed and Implemented Using Team Noridian's System Development Life Cycle Methodology

■ *Requirement 3G.9 – System Enhancements. The TPA shall have a systems enhancement unit whose purpose shall be to develop system enhancements or modifications as required by the Department. This shall include the ability to collect and report new data elements in a Department-approved format.* ■

The staff responsible for systems maintenance will also be responsible for implementing system enhancements. The Process Analyst and Business Analyst who will be responsible for gathering requirements and assisting with the system design tasks, will supplement that group. Quality Analysts will also assist in the development effort through regular monitoring of work products and in the development of additional performance measurements, as needed, for later operations.

All enhancements to the *hawk-i* program, including the addition of new data elements, will be developed using Team Noridian's proven System Development Life Cycle (SDLC) model described in Section 4K (Incoming Transition) to provide quality deliverables and facilitate the system enhancement process. Our SDLC methodology is a set of principles and guidelines to facilitate the various stages of implementing a new project or transitioning an existing one. Team Noridian's SDLC methodology is based on the principals for Capability Maturity Model (CMM) Level 3. We will continue to follow this SDLC methodology during the Operations Phase of the project for all system enhancements including regular releases.

Please refer to Section 4K(Incoming Transition) for a full description of our SDLC methodology.

The Department Will be Involved Throughout our SDLC Process and Will Formally Approve All System Modifications

■ *Requirement 3G.10 – Department Approval of System Modifications. The Department has final approval of all systems enhancements or modifications. All system modifications require Department approved functional system design, contractor system testing, Department acceptance testing and Department final approval to be deemed complete and approved prior to implementation. The TPA shall have a process in place to keep the Department updated on the status of any system modification. The TPA agrees that post-implementation review is required and subject to Department approval. A post-implementation report shall be produced in a format specified by the Department.*

If a system modification results in unintended consequences, (e.g. incorrect data reporting, incorrect eligibility determination, etc.), the Department shall not be charged for any additional costs related to fixing the problem. ■

As part of our SDLC process for system enhancements or modifications, Team Noridian will conduct requirements analysis activities and ask the Department to participate in Joint Application Development (JAD) sessions. We will ensure the Department fully understands the design and resulting output of the proposed modification and will obtain formal sign-off of the Requirements Analysis, System Design, and User Acceptance Test process.

The Department will be involved in all JAD sessions and walkthroughs and we will report status, progress, and issues through the mechanisms we will define in the Communications Plan developed for the enhancement. And, as described in Section 4K (Incoming Transition), Team Noridian will provide both a Post Implementation Evaluation along with a Lessons Learned report which will outline recommendations for improvements to the SDLC process. We understand that our Post Implementation Evaluation is subject to Department approval.

Team Noridian will track and correct any problems that occur after implementation as a result of the enhancement using the mechanisms defined in our Systems Operations Plan. We understand that Noridian will be responsible for any costs incurred to correct problems.

Department Access to the System

■ *Requirement 3G.11 – Department Access to the System. The TPA shall provide any Department-designated staff person or a Department's designee staff person remote (for Payment Error Rate Measurement reviews) access to the system through a password-protected interface.*

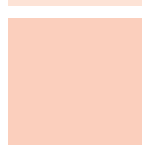
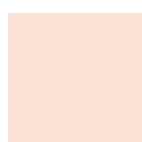
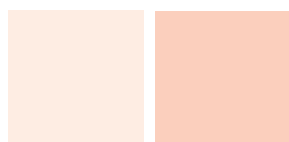
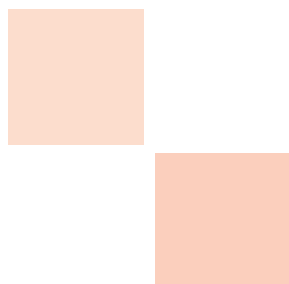
The TPA shall provide the Department with the ability to continuously review the file of any applicant or Enrollee except for daily maintenance periods including access to financials (premium and capitation payments). This will not include the ability to change existing information in the file. The TPA shall allow the Department to make additional notations to existing files. The TPA shall provide the Department access via telephone lines, computer terminals or other available technology to the entire TPA's online application information, image view of scanned applications, eligibility and enrollment records. Access will be available during regular business hours. ■

A designated Infocrossing security administrator maintains the Q/Care security subsystem and is responsible for creating and maintaining Q/Care users and each user's privileges to the various Q/Care subsystems and data, as well as reviewing reports listing the current users and their access within Q/Care. Adding new users can be simplified by creating security profiles. Q/Care security features will allow user security restrictions to be defined at the subsystem, function (i.e., add, modify, and inquiry), screen, and field levels. A Noridian security administrator will manage the OnBase system using similar security features.

Team Noridian will establish a user name and password for all designated Department staff users needing access to Q/Care and OnBase for Payment Error Rate Measurement reviews. The Department will have access via telephone lines, computer terminals or other available technology to the entire online **hawk-i** application and the images created from the scanned applications, eligibility and enrollment records. Team Noridian will ensure access is available during regular business hours.

Data Quality Monitoring System

■ *Requirement 3G.12 – Data Quality Monitoring System. The TPA shall establish and maintain a data quality monitoring system to assure the integrity of all program data. The TPA, at a minimum, shall provide the Department a data quality plan that integrates the various internal processes within the organization and the process approach for project execution including testing, edit implementation and quality monitoring. The TPA shall, at a minimum, identify, measure, control and improve the various core business processes that will lead to improved business performance. A copy of the data quality monitoring system plan shall be provided to the Department. The TPA quality monitoring system plan shall be updated to reflect the most current quality plan functions. ■*



Our Decision Support System is Used By Many Fortune 500 Companies

■ Requirement 3G.13 – Decision Support System. The proposal shall describe the Decision Support System (DSS) that will provide designated Department staff timely access to information in order for the Department to query the system, make informed program decisions and review impact of previous program or system modifications. This includes, but is not limited to, access to current enrollment and disenrollment figures. ■

Team Noridian recognizes the need to provide system access and in-depth reporting to the Department on the many factors impacting the service to **hawk-i** enrollees. The Department will have access via telephone lines, computer terminals, or other available technology to the entire online **hawk-i** application and the images created from the scanned applications, eligibility, and enrollment records. All parts of the system solution housing key data will be accessible using general querying tools. Team Noridian will ensure access is available during regular business hours.

To satisfy the Decision Support System (DSS) and ad hoc reporting requirements, Team Noridian will implement Business Objects Enterprise which includes Crystal Reports and Business Objects, two Commercial-Off-The-Shelf (COTS) Web Intelligence products. Since both of these products are Web enabled, Team Noridian or the Department users only need a Web browser on their desktop to view or create ad hoc reports.

Many Fortune 500 companies and leaders in the Health Care field use the Business Objects Enterprise suite of products. The component of the Business Objects Enterprise suite to be used for the *hawk-i* program is the Business Intelligence platform. It provides an efficient architecture for processing, managing, and delivering critical information and analysis.

Crystal Reports is embedded into a number of third party products such as Business Objects and is considered a de-facto standard for report generation. Crystal Reports allows consumers to easily retrieve predefined reports for review and analysis. It allows Team Noridian and the Department to drill down into the data, ask “what if” type questions, look for trends, investigate anomalies, perform audits, and respond to requests for information.

Using the Business Objects Business Intelligence platform provides the Department with a powerful reporting toolset that integrates seamlessly with the Q/Care platform. These technologies will allow Team Noridian to quickly respond to data access and analysis needs. For the Department, it has a number of advantages including:

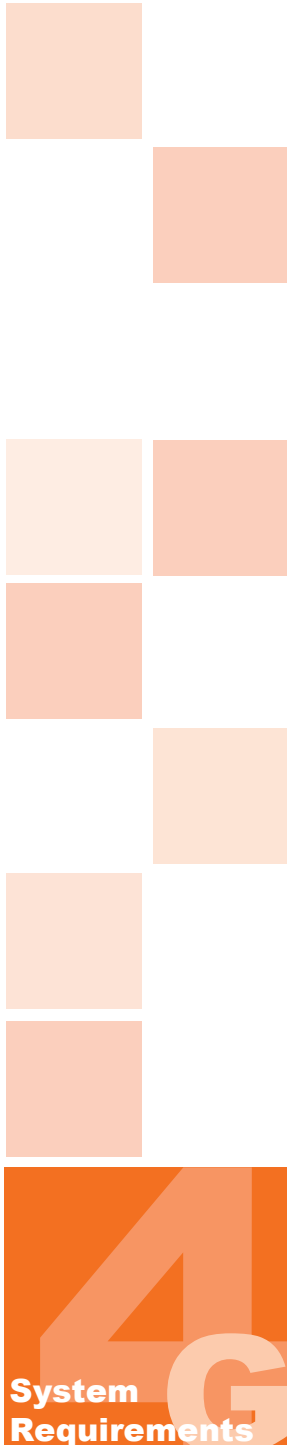
- Allows the Department to become more familiar with the data; thereby gaining confidence that what they view reflects reality.
- Allows the Department to become more familiar with the data captured by Q/Care, which helps make interactions between Team Noridian and the Department more productive.
- Empowers the Department to perform their own data analysis, which could result in trends being detected early, enabling adjustments to policies and procedures in a pro-active manner

Team Noridian is quite confident that our proposed DSS solution will fully satisfy the Department's requirements.

Team Noridian's Systems and Data Security Plan Will Ensure Data is Protected

■ *Requirement 3G.14 – Safeguards of Data. The TPA shall safeguard data and records from alteration, loss, theft, destruction and breach of confidentiality in accordance with both state and federal statutes and regulations and as set forth herein. All activity covered by this RFP shall be fully secured and protected. The Department shall have the right to establish backup security for data and to keep backup data files in its possession if it so chooses. Exercise of this option by the Department will in no way relieve the TPA of its responsibilities. Safeguards designed to assure the integrity of system hardware, software, records, and files include:*

- *Orienting employees to security policies and procedures;*
- *Developing lists of personnel to be contacted in the event of a security breach;*
- *Maintaining entry logs for limited access areas;*
- *Performing a periodic risk analysis for anticipating mishaps and determining the cost effectiveness of safeguards;*
- *Limiting physical access to systems software and libraries;*
- *Maintaining confidential and critical materials in limited access secured areas.* ■

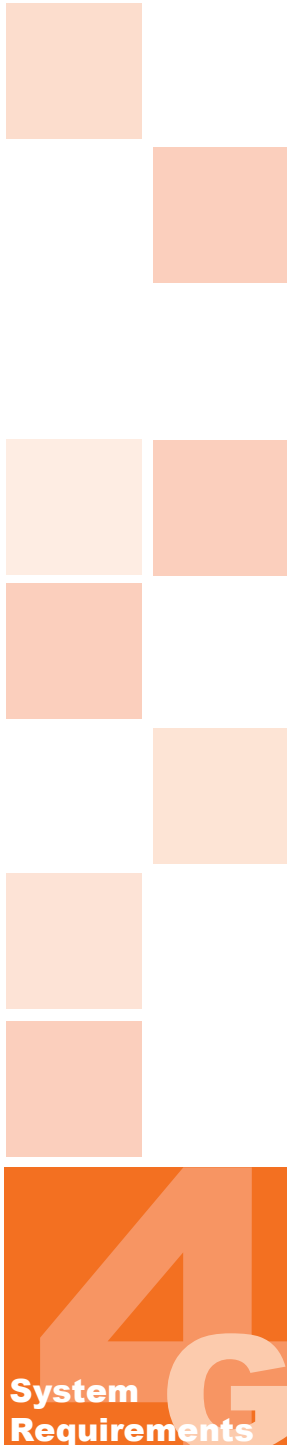


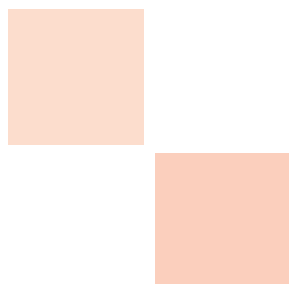
Team Noridian will make security policies and procedures readily available to employees. As discussed in Section 4H (Training), all new employees are required to take security and privacy classes and all employees are required to take refresher courses on a regular basis. These courses will include administrative, physical, and technical safeguards for protected health information in any form (i.e., hardcopy, facsimile, electronic).

Also, as discussed in Section 4H (Training), we will use the online VigilEnt Policy Center to conduct our security training and distribute all security policies. The VigilEnt Policy Center will house all security and privacy policies and information, track employees' review of these policies, and measure each employee's understanding of the policies through interactive evaluations.

Internal Security Controls Will Track All Employees' Actions on All Case Files

■ *Requirement 3G.15 – Internal Security Controls. The TPA shall establish and maintain within the system documented internal security controls, which include controls that record the security ID of any individual that performs any transaction upon an applicant's and/or Enrollee's case file as well as a recorded date and time stamp for each such transaction. The Department shall review and approve all internal security controls within the system.* ■



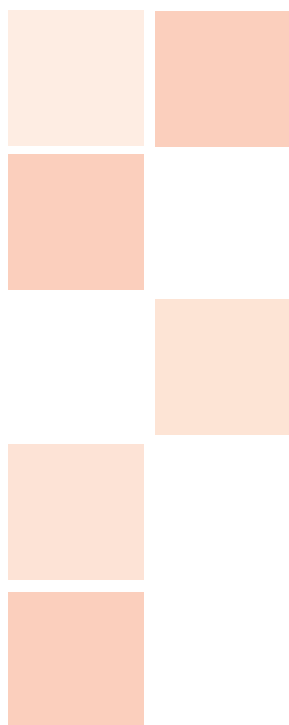


Team Noridian

understands that the Department will review and approve all security internal controls within the system.

Mission Critical Equipment Will Be Stored at Secured, Guarded Facilities

■ *Requirement 3G.16 – Equipment Storage. The TPA shall store all mission-critical equipment (including, but not limited to servers) needed to implement and conduct the application process in a locked, secured, temperature-controlled room. All equipment, which is provided to the TPA by the Department, is the wholly and completely owned property of the Department and shall be returned to the Department upon request.* ■



As discussed in Section 4M (Other Requirements) all of the facilities that will support the **hawk-i** project, including the Des Moines facility, the Noridian headquarters in Fargo, North Dakota, and the Infocrossing Data Center, have either on-site security personnel 24 hours a day, seven days a week (24/7) or are patrolled by a security company. We use surveillance systems as situations warrant for entrances and exits, highly sensitive areas, and high-traffic areas. In addition, we authorize security guards to check any and all items removed from the property. Team Noridian documents all security procedures for each building and educates all impacted staff on the location of these procedures. We will use our existing security procedures as the foundation for developing and documenting facilities protection procedures specific to the **hawk-i** contract.

All of our facilities are temperature controlled with the requisite back-up power necessary to ensure all equipment is protected. We have described the two locations where we will house the OnBase and Q/Care systems below. Any equipment (such as telephone equipment or servers) used in the Des Moines site will be stored in a locked, climate controlled area.

We acknowledge that all equipment provided to Team Noridian by the Department is wholly and completely owned by the Department.

Fargo, North Dakota Data Center Location. Noridian will provide the OnBase workflow services from their facilities in Fargo, ND. Noridian maintains a world-class data center, the Critical Services Operation Center





(CSOC), providing a secure, highly-available environment to support critical processing, networking, and telephony requirements.

The use of the existing CSOC provides the advantage of using existing technologies and infrastructures that can be leveraged to support *hawk-i* equipment and operations. Noridian monitors the CSOC 24/7 with a large pool of local support technicians. On-site operations and technical staff provide a large pool of resources to efficiently resolve technical issues, capacity planning, system maintenance, database maintenance, and system monitoring.

Backups for the systems at CSOC, as well as remote locations, are provided through Noridian's established infrastructure using IBM's Tivoli Storage Manager (TSM). TSM uses the disk infrastructure and Noridian's StorageTek tape silo to create this environment for backup and retrieval of critical files. Backups of remote offices, such as the Des Moines site, are provided through the use of TSM Backup Appliances distributed in the remote office.

Perimeter network security at the Fargo facility is provided by Checkpoint Firewall-1 firewalls. Noridian also uses the Tipping Point Network Intrusion Prevention and Cisco Security Agent Host Intrusion Prevention systems, ensuring that critical data is protected.

Leonia, New Jersey Data Center Location. The Infocrossing Health Services data center in Leonia, NJ will provide the environment for the *hawk-i* integrated eligibility, enrollment and financial / accounting services. This data center will house the Q/Care system. The Leonia data center is an established environment with these features:

- Recognized in September 2006 by Uptime Institute for eight years of continuous availability
- The facilities are Tier III fault tolerant facilities as defined by the Uptime Institute
- Designed with redundant and secure network infrastructure
- Multiple Uninterruptible Power Supply (UPS) systems, motor generators, water wells and fuel storage, 24/7 data and physical security
- Annual "Statistical Accounting Standards (SAS) 70" Type II audits

The use of the Leonia data center allows Infocrossing to take advantage of existing servers and peripheral equipment. The environment also allows the use of existing data backup technology and the use of existing processes and procedures for disaster recovery.

The Leonia data center provides redundant high-speed connectivity to the Internet. The 80 and 90 megabit connections provide the bandwidth to effectively support the use of the Web for the electronic submission of *hawk-i* enrollment applications.

Q/Care processing occurs on an IBM Z800 mainframe. IBM designed and optimized the Z800 to handle the transaction processing demands of a large-scale transaction-oriented application. The system is built on proven technology, incorporating high availability with enhanced security.



Network security is a primary concern in providing services via the Internet. The Infocrossing data center is configured to support the requirements of the Centers for Medicare & Medicaid Services (CMS) Three-Tier Internet Architecture. These network security requirements include:

- Multiple firewalls separating presentation, logic, and data zones
- Network intrusion detection software
- Host intrusion detection software

Team Noridian Will Develop a Systems Operations Plan to Address All Performance Measures

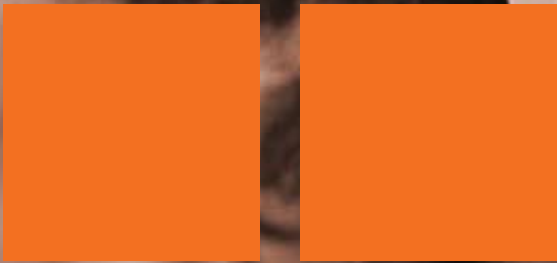
■ *Requirement 3G.17 – Performance Measure. The Department may deduct ten (10) percent of the monthly Operation Costs per month for failing to keep the computer system operational ninety-eight (98) percent of the time. This shall not include situations caused by force majeure. The TPA shall submit a monthly report detailing any down time of the computer system.* ■

As previously discussed in this section, during the Transition Phase, Team Noridian will develop a Systems Operations Plan that will address all applicable system performance measurements including availability requirements at both data centers. This plan will also detail all system monitoring, tracking, and reporting activities along with our methods of quickly resolving any problems.

All of the system related performance measures will become part of the Service Level Agreements we will incorporate into the Operations Phase. We will provide a report detailing any down time and other performance indicators, in an agreed upon format, to the Department monthly.

Conclusion – Our IT Systems Will Provide the Department with a Flexible, State-of-the-Art *hawk-i* Solution

Team Noridian's extensive experience providing technical solutions provides assurance to the Department that all system requirements for the *hawk-i* program will be met or exceeded. Each of the Team Noridian partners brings complementary experience as well as years of experience working together. Our state-of-the-art data centers and systems environments provide a secure, reliable platform for operations. Our proven, highly-configurable software solutions provide a flexible platform on which a successful program can be built. Finally, Team Noridian's strong SDLC methodology and integrated quality management help to mitigate risk and provide further assurance that quality and performance standards will be met consistently.



Training

Training

Team Noridian ADVANTAGE

- Proven customer service training to help staff develop the leadership and customer service skills needed to excel at handling situations encountered in the work environment
- Extensive history of training to support internal and external resources in large-scale transitions; just-in-time training delivery
- Use of technology to advance training delivery and evaluate training effectiveness

Noridian Administrative Services, LLC (Noridian) has the experience and expertise needed to successfully train current Noridian staff, new hires, and the Iowa Department of Human Services (Department) staff on all functions associated with the Healthy and Well Kids in Iowa (*hawk-i*) program. Noridian believes well trained and knowledgeable employees provide exceptional customer service because they are confident in their knowledge and understand the importance of friendly, courteous, and efficient contact with customers; the Team Noridian training curricula will be based on this commitment. The Team Noridian training philosophy focuses on ensuring that every employee has the knowledge and tools to provide the best service for each customer, including the Department.

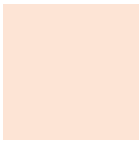
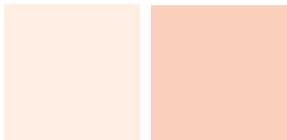
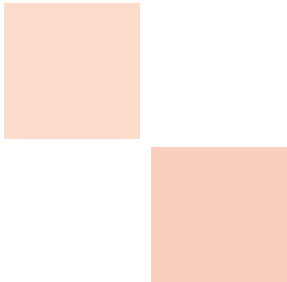
As discussed in this section of our proposal, our experience has resulted in a stable and effective training process that integrates cutting-edge technology into a proven training plan and sound documentation practices.

Our Training Content Prepares Us to Perform Service Requirements

■ *Requirement 3H.1 – Training Content. Adequate, accurate and timely training of staff is critical to perform all service requirements of this RFP. Training shall include the policies and procedures of the **hawk-i** program as well as the computer system. The proposal shall describe the process for new employee training as well as how existing staff is trained when there are policy or procedural changes. The proposal shall identify who is responsible for the training,*

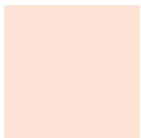
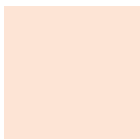
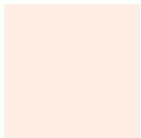
how the TPA will work with the Department to assure that the training is adequate, accurate and timely, and the process for developing and maintaining the training manual.

In addition to program and policy knowledge, training in appropriate customer service and telephone skills is essential. ■



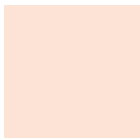
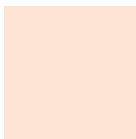
Development of a Training Plan that Meets Objectives



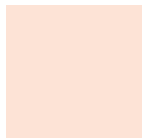
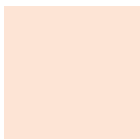
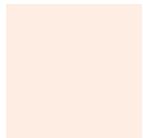


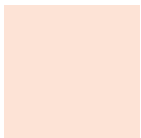
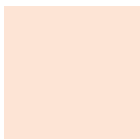
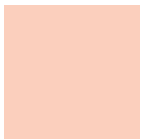
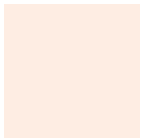
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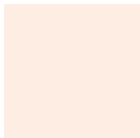
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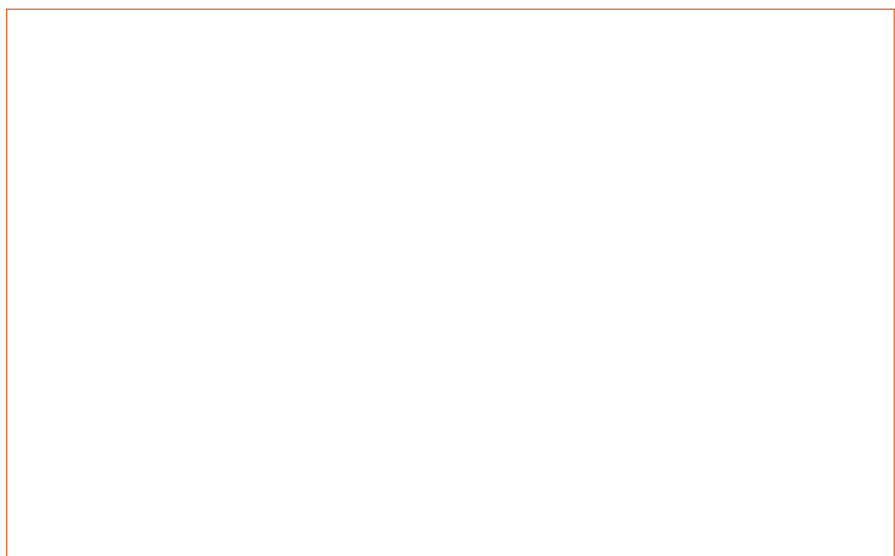
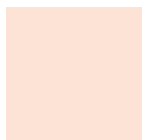
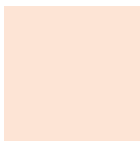
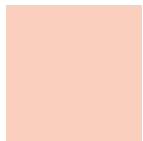
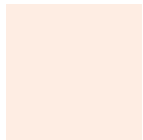
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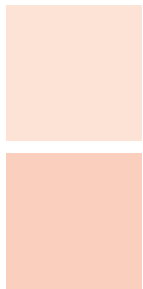
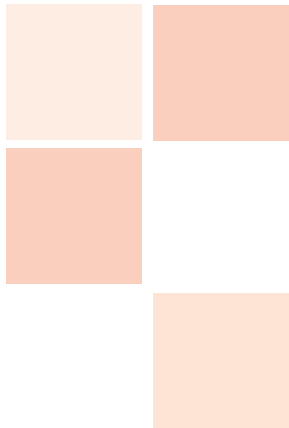
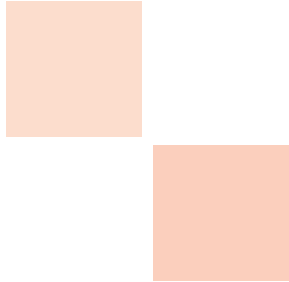
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Methods of Training That Meet Trainee Needs and Fit Job Responsibilities

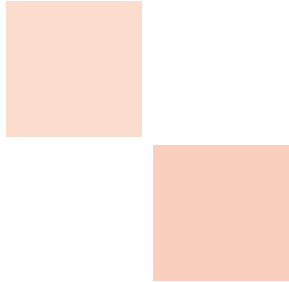




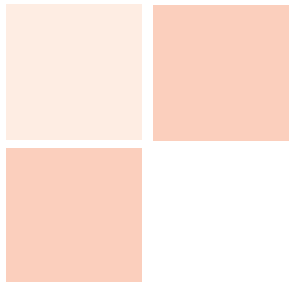


**We Evaluate Our Training to Identify Areas
of Improvement**



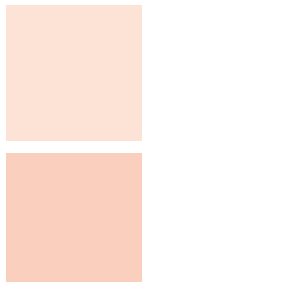


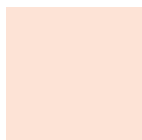
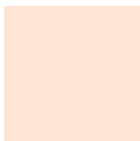
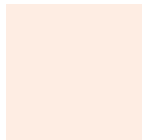
Our Training Approach Prepares Us for *hawk-i*



Our Training Manual Approach Enhances Learning and Performance

■ *Requirement 3H.2 – Training Manual. The TPA shall develop and maintain a training manual. This manual shall be available in paper and electronic formats. The Department shall be provided access to the training manual. All training material containing policy information regarding the **hawk-i**, Medicaid, or other Department programs shall be approved by the Department prior to presentation of the material to TPA staff. ■*

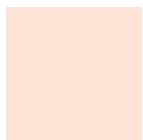
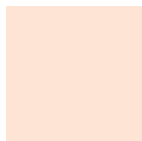
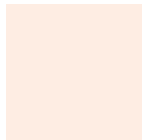


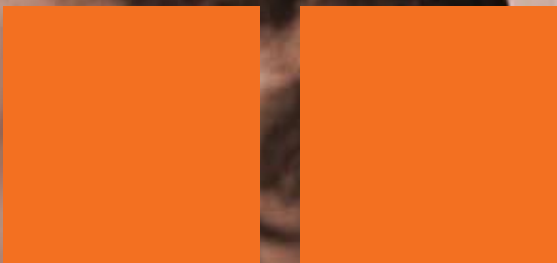


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Conclusion – Our Training Program Prepares Us to Provide Quality Service





Reports

Team Noridian ADVANTAGE

- Team Noridian's reporting solution addresses all the Department needs
- Team Noridian's Computer Output to Laser Disk (COLD) solution is online accessible central repository for managing all reports
- Team Noridian's ad hoc solution, Business Objects Enterprise, is a Commercial-off-the-Shelf (COTS) suite of performance management, information management, reporting, and query and analysis tools

■ The TPA shall have the capability to create and produce a variety of statistical and analytical reports on a daily, weekly, monthly, quarterly, annual or ad hoc basis, as determined by the Department. Reports may be required in state, county, or zip code level detail and may reflect monthly and year-to-date information.

The Department shall approve the report design, format and layout. All reports shall be assigned a name and number and include a run date. Reports shall be produced on a schedule determined by the Department. The Department may require reports to be provided in paper and/or electronic format and to be posted to the **hawk-i** Web site. The reports are due to the Department by the tenth (10th) of the month following the month of the data in the report.

The reports currently produced by the Incumbent TPA are listed below. At a minimum, the TPA shall have the capability to produce these reports. The Department reserves the right to make modifications to these reports or request additional reports.

As amended in Amendment Two, the proposal shall include a sample of one or more reports and how the bidder will assure accuracy of all reports listed below if they would be the resultant Contractor. ■

Team Noridian recognizes the need to provide a comprehensive reporting solution so the Iowa Department of Human Services (Department) has all information needed to evaluate the many factors impacting service to Healthy and Well Kids in Iowa (**hawk-i**) enrollees. Besides the many reports that will be available through our integrated systems, OnBase and Q/Care, Team Noridian also proposes Business Objects as the Decision Support System to be used to query and create ad hoc reports for the Department. At a minimum, the OnBase and Q/Care standard reports will include all the statistical and analytical reports specified in this Request for Proposal (RFP) requirement in the formats requested by the Department. Team Noridian will maintain all standard and ad hoc reports in our OnBase Computer Output to Laser Disk (COLD) system. Team Noridian will use our COLD system to manage the access and creation of requested paper reports within the Department's scheduled timeframes.

Team Noridian Will Generate All Required Standard OnBase and Q/Care Reports

- Requirement 3I.1 - Count of Valid Applications – Month and Year-to-Date
- Requirement 3I.2 - Count of Applicants – Month and YTD
- Requirement 3I.3 - Month-End Application Status Report
- Requirement 3I.4 - Month-End Applicant Status Report
- Requirement 3I.5 - Time to Process Application Disposition Reports
- Requirement 3I.6 - Applicant Demographics Summary
- Requirement 3I.7 - How Applicants Heard about **hawk-i**
- Requirement 3I.8 - **hawk-i** Applications Referred to Medicaid
- Requirement 3I.9 - Pending Application Reports by County
- Requirement 3I.10 - **hawk-i** Applicants Enrolled by County
- Requirement 3I.11 - Applicants Denied by Reason and County
- Requirement 3I.12 - Denied Applicants Applied for on Referral Applications
- Requirement 3I.13 - Denied Applicants Applied for on Renewal Applications
- Requirement 3I.14 - Enrolled Demographic Summary
- Requirement 3I.15 - Enrollment Count by County and Month
- Requirement 3I.16 - **hawk-i** Disenrollment Report by County
- Requirement 3I.17 - **hawk-i** Renewal Activity Report

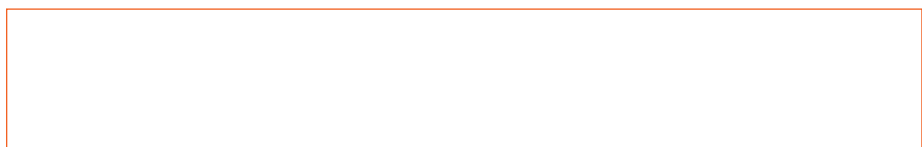
Reports

Requirement 3I.18 - **hawk-i** Applicants Renewed by County
 Requirement 3I.19 - **hawk-i** Family Size by Poverty Level
 Requirement 3I.20 - **hawk-i** Household Demographics by Poverty Level
 Requirement 3I.21 - Months of Participation Report
 Requirement 3I.22 - Functional Surveys Activity Report
 Requirement 3I.23 - Center for Medicaid and Medicare (CMS) Quarterly Reports
 Requirement 3I.24 - Daily Lockbox Report
 Requirement 3I.25 - Capitation Payment Report
 Requirement 3I.26 - Language Percentage by Health and Dental Plan
 Requirement 3I.27 - Disenrollment Survey
 Requirement 3I.28 - Refund Report
 Requirement 3I.29 - Quality Management Reports
 Requirement 3I.30 - Ad Hoc Reports
 Requirement 3I.31 - Financial Reports ■

At a minimum, Team Noridian will generate all of the above standard reports using either our OnBase or Q/Care system. Which system will actually create each report depends on the business function that we are addressing and where the data sources for each report resides. (Team Noridian is aware several of the above reports are actually composed of more than one report but in the interest of saving space, we only listed the higher-level report name).

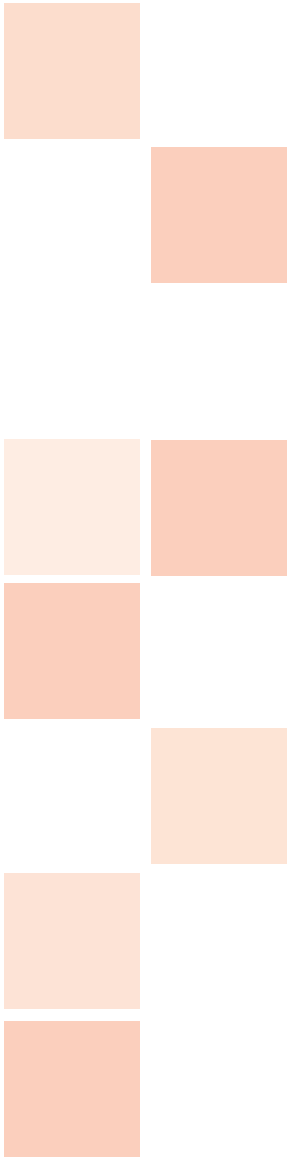
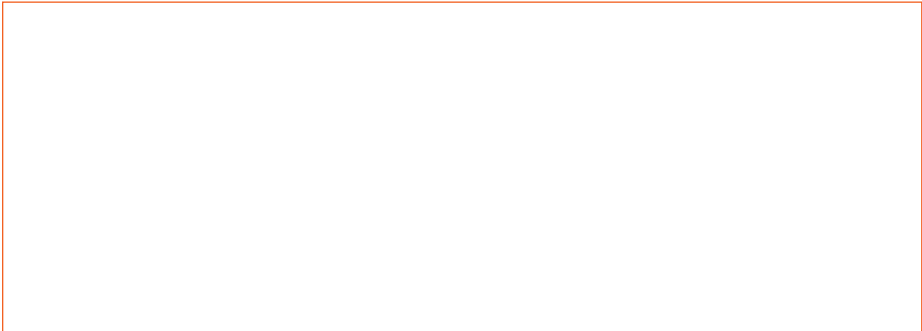
During the Requirements Analysis and Verification, Data Conversion, and System Design tasks, Team Noridian will meet with the Department to fully describe and design all of the required pre-defined reports. We will ask the Department to supply copies of the incumbent's reports, along with a description of the data source for each report as a starting point. Then with the Department's input, we will make any changes, additions, or deletions from the original layouts to produce acceptable new formats. Once the Department approves the formats, Team Noridian will identify all data elements needed and the source of the elements to determine which of its integrated systems will produce the report.

Team Noridian will update and / or design reports with the recognition that accuracy in report creation is of utmost importance to the Department. We focus on two essential elements to assure accuracy of the reports we generate: accuracy of system data that populates reports and accuracy of the queries in properly capturing the data from each system. Therefore, we will implement several points of validation during the implementation of each report, when any changes are made to existing reports and on an ongoing basis to assure continued accuracy. During the above tasks, Team Noridian will also produce the pre-defined reports currently generated by the OnBase and Q/Care systems, such as the financial system reports, and work with the Department to make any necessary changes to formats and/or data elements. Figures 1-4I (Member Maximum Age Report), 2-4I (Bank Reconciliation Report), and 3-4I (Bank Lockbox Report) provide examples of current reports created by Q/Care.



Reports

For the *hawk-i* program, Team Noridian would make the necessary modifications to identify those who will turn 18 this month.



During the Construction and Unit Test task, Team Noridian will thoroughly test each report and provide results to the Department on a regular basis. We will make any modifications needed and continue this practice through the System and Integration and User Acceptance Test tasks. Section 4J (Quality Management) provides further details

about our entire development process including the types of testing and monitoring that Team Noridian will have in place. By implementing report generation processes consistent with our Capability Maturity Model for Integration (CMMI) Level 3 and International Standards Organization (ISO) 9001 equivalent designations we will produce accurate and reliable reports that meet the Department's expectations.

Team Noridian will work with the Department to determine the naming / numbering convention for each report and to develop a schedule for each report. We will also produce reports in hardcopy, electronic format or both based on the Department's preferences. All reports will have a printed run date.

During the System and Integration and User Acceptance Test tasks, Team Noridian will exercise the system thoroughly to run through multiple cycles of data and produce the necessary daily, weekly, monthly, and quarterly reports.

All monthly reports will be available to the Department by the 10th of the month following the month of the data in the report. All reports will remain online for a period of time determined by the Department. Additionally, at the Department's request, we will post specific reports to the *hawk-i* Web site.

Ad Hoc Reporting Requirements Will be Satisfied Via a Powerful Interactive System

To satisfy ad hoc report requirements, Team Noridian will implement Business Objects Enterprise which includes Crystal Reports and Business Objects, two Commercial-Off-The-Shelf (COTS) Web Intelligence products. Since both of these products are Web enabled, Team Noridian or the Department users only need a Web browser on their desktop to view or create ad hoc reports.

Many Fortune 500 companies and leaders in the Health Care field use the Business Objects Enterprise suite of products. The Business Objects component is the Business Intelligence platform that is the key support system for ad hoc reporting. It provides an efficient architecture for processing, managing, and delivering critical information and analysis. The use of a reputable product suite such as Business Objects provides additional assurance to the Department of the accuracy of information reported by Team Noridian. Rather than developing a solution from the ground up, we will be implementing a system that has been tested hundreds of thousands of times throughout the industry.

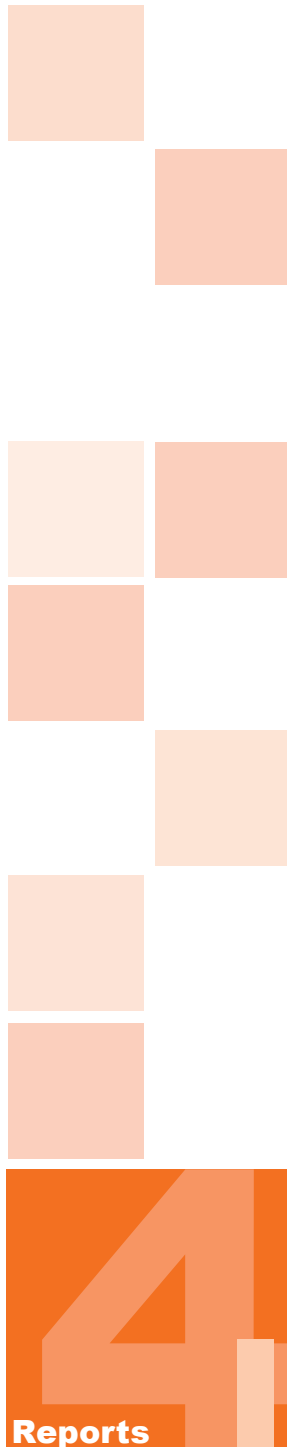
Crystal Reports is embedded into a number of third party products such as Business Objects and is considered a de-facto standard for report generation. Crystal Reports allows consumers to easily retrieve predefined reports for review and analysis. It allows Team Noridian and the Department to drill down into the data, ask what if type questions, look for trends, investigate anomalies, perform audits, and respond to requests for information. With

Crystal Reports, Team Noridian believes additional “standard” reports will evolve to help the Department in their evaluation of the level of service that the enrollees are receiving through the *hawk-i* program.

Using the Business Objects Enterprise provides the Department with a powerful reporting toolset that integrate seamlessly with our Q/Care platform. This allows Team Noridian to quickly respond to data access and analysis needs. For the Department, it has a number of advantages including:

- Provides a reliable and accurate solution to mitigate risk of inaccurate reports.
- Allows the Department to become more familiar with the data captured by the Q/Care system, which helps make interactions between Team Noridian and the Department more productive.
- Empowers the Department to perform their own data analysis if the Department desires to do so, which provides the opportunity to detect trends early, allowing for proactive adjustment of policies and procedures.

Figure 4-4I (Diabetes - Quality of Care) shows a sample report created using our Business Objects Enterprise solution. When the user chooses different options, the data associated with the clinic is displayed in the graph. Further, when viewing this graphic report sample in the electronic version of the proposal, the reviewer can click on certain parameters and a new report will be displayed. This interactive graphic is intended to provide the Department a better representation of the types of reports that will be provided by Team Noridian.



Team Noridian recognizes their responsibility to provide support for ad hoc report requests. During the Transition Phase Joint Application Design (JAD) sessions, we will work with the Department to assure our

solution meets their needs. We will also provide the necessary staff to generate any requested ad hoc reports or establish additional tables within the Relational Database Management System (RDBMS) that is part of the system.

The COLD Environment Manages the Storage of Reports and Other Documents

The OnBase COLD environment manages the storage of reports or other documents that originate as host-generated data. It automatically identifies, compresses, and indexes reports that are output from either Q/Care or OnBase. In addition to normal text input, the COLD module will also accept reports formatted with Print Control Language (PCL), allowing these reports to retain their original formatting. The COLD module integrates seamlessly with other OnBase modules allowing cross-referencing of reports to other OnBase documents. Documents submitted electronically will be converted to the appropriate format and will be stored using in the COLD environment, providing an integrated retrieval mechanism for those documents. For example, we can convert American National Standards Institute (ANSI) transactions, store them in the COLD environment, and then make them available to the end user using a transaction overlay.

Conclusion

With Team Noridian's standard and ad hoc reporting solution, the Department will have immediate online access or scheduled delivery of any available report. Using our COLD solution, we provide a central report repository that not only manages standard and ad hoc reports generated from OnBase, Q/Care, or the Business Objects Enterprise but also accepts and stores other forms of information used for reporting. We will monitor the accuracy of each report as it is created, and periodically throughout the operation to assure continued accuracy. Team Noridian is confident that our proposed reporting solution will fully satisfy all the Department's requirements.



**Quality
Management**

Quality Management

Team Noridian ADVANTAGE



- Continually enhance our quality management system through workflow process improvements, process automation, and the implementation of smart technology
- Quality Management program based on principals of Total Quality Management, Program Management Institute, Capability Maturity Model Level 3, and International Standards Organization 9001
- Measure, monitor, and enforce standards at both the employee and team levels with detailed reporting and feedback through an established process

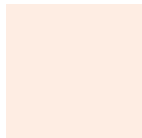
■ The TPA shall have a quality management (QM) process and plan in place. The QM review process shall include all aspects of the eligibility determination, financial accuracy and system validation. The proposal shall describe the process in which the TPA will perform QM activities and the staffing that will be assigned to perform QM activities. The QM process shall include continuous and routine measurement of Contract work to determine the TPA's compliance with all Contract requirements. Components to be measured include, but are not limited to, determining how accurate and timely the TPA's performance is in each area of responsibility. The results of the QM process will assist the TPA and the Department in measuring the quality of work being performed and facilitate recommendations for operational changes. ■

**Quality
Management**

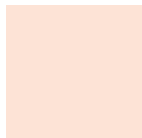
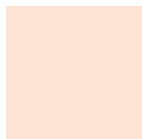


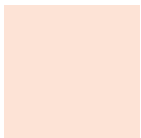
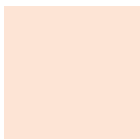
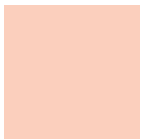
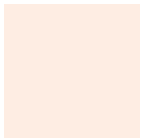
We Will Continually Review and Monitor All *hawk-i* Processes to Ensure Quality

■ Requirement 3J.1 - Eligibility Process. At a minimum, The TPA shall conduct reviews as described in Section 3B.9 Eligibility Determination Accuracy. The TPA may elect to perform additional eligibility reviews as a part of their quality management plan. ■



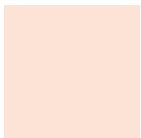
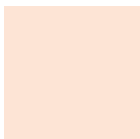
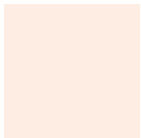
Using a Measure, Monitor, and Enforce (MME) Process to Achieve Quality





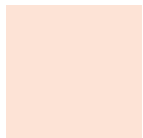
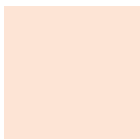
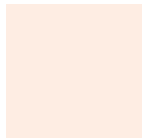
Team Noridian

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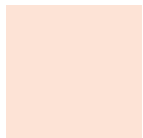
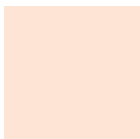
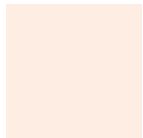


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Using Automation to Achieve Quality



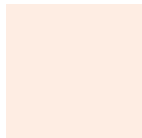
Using Process Documents to Achieve Quality



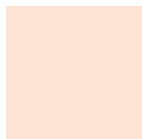


We Will Monitor Our Financial Systems for Quality

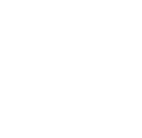
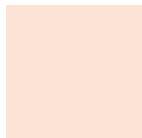
■ *Requirement 3J.2 – Financials. The TPA shall maintain a financial data quality monitoring system manual and quality plan. The TPA shall implement quality controls for all aspects of the financial systems, following generally acceptable accounting and auditing procedures. This includes review of the premium payment process and lockbox process, refund process, capitation process including any adjustment made to accounts in the financial system. The financial data quality monitoring plan shall include a reconciliation of all financial systems to the enrollment/eligibility system.* ■



Financial Monitoring

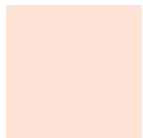
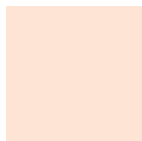
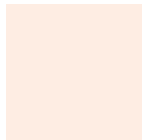


Safeguarding Received Payments

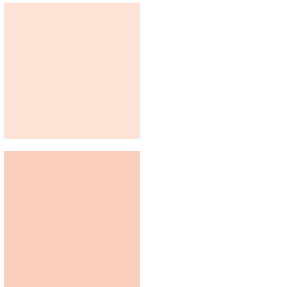
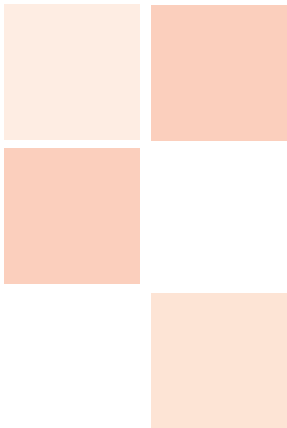
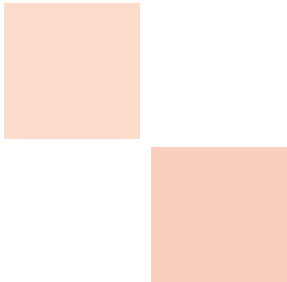




Specific Quality Monitoring for the Financial System



MME, Process Reviews, EDMS, and Process Documents



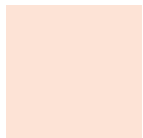
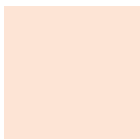
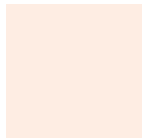
We Will Monitor the Technical System for Quality

■ Requirement 3J.3 – System. The TPA shall maintain a quality management plan for all aspects of the technical system. The TPA shall implement quality controls to assure the application, application process, renewal process, Web site, and financial system are in compliance with established quality criteria. Maintenance includes ensuring all interfaces, hardware, software, and mission-critical equipment continues to function properly and efficiently with the Department's technical specifications and for the Department's intended purpose. Maintenance also includes, but is not limited to, the following:

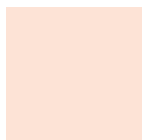
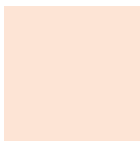
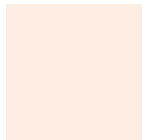
- a. Ensuring the application process and Web site is capable of accepting and processing electronic applications and renewal applications;
- b. Ensuring that the application process and Web site is able to support a high volume of users who are simultaneously logged on; and
- c. Ensuring that the application process and renewal process and Web site function in accordance to all terms and conditions identified by the Department.

The TPA shall provide additional review and research of the process it uses in its system(s) and subsystem(s), in order to determine the cause of errors and to develop the systematic means to reduce the defective source of these errors, and shall not attribute inaccuracies related to human errors. ■

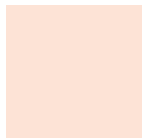
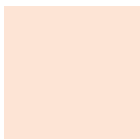
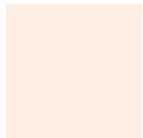
Developing a Systems Operations Plan



Operating a Service Level Management Process



Reporting and Resolving Problems



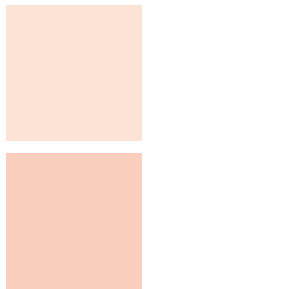
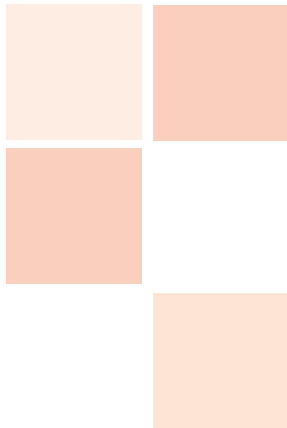
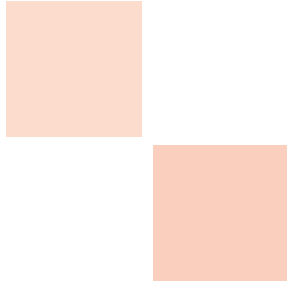
Using a Configuration Management Plan



Using Reports to Monitor Quality

■ *Requirement 3J.4 – Reports. Quality Management and Control Plan. The TPA shall deliver a quality management and control plan within ninety (90) days from the execution of the Contract. The TPA shall provide the Department a revised copy of the quality management and control plan when there are modifications made to new or existing processes.*

Quality Management and Control Results Report. This monthly report shall be divided into three (3) sections, eligibility, financials, and system. The documentation shall include the elements reviewed, the accuracy of the determination, corrective action taken on any errors found, the date of review, and the name of the person conducting the review. ■





We Will Conduct System Audits to Ensure Quality

■ *Requirement 3J.5 – System Audit. As amended in Amendment One, the TPA shall ensure the integrity of the **hawk-i** program through internal and external audit processes. The procedural and compliance audit requirement discussed below is in addition to the requirements in Attachment 13 Contract Terms and Conditions, General Terms N26.*

The TPA shall subcontract with an independent auditing firm to perform a procedural and compliance audit of the system. The Department shall approve the independent auditing firm and subcontract. The first audit shall be completed no later than September 15, 2009, and annually thereafter.

The procedural and compliance audit shall be conducted in accordance with generally accepted auditing standards. At a minimum, the audit shall cover the following functions:

- *Eligibility determinations;*
- *Data collections;*
- *Report data validation;*
- *Health and Dental Plan enrollment processes;*
- *Premium collection and accounting;*
- *Capitation payments to health and dental plans and accounting;*
- *Financial accounting and bank reconciliation reports;*
- *HIPAA protocol compliance; and*
- *Timeframes and correspondence generation.*

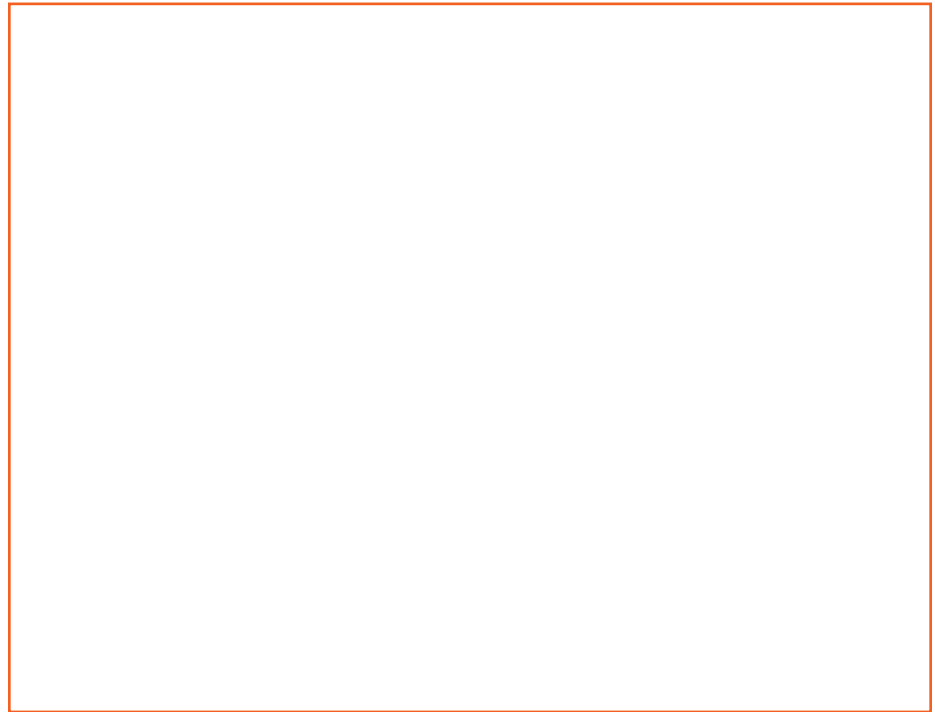
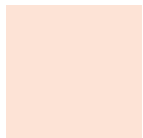
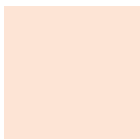
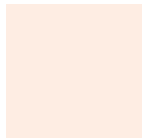
The independent auditing firm shall consult with the Department and the TPA in completing an annual risk assessment and developing each audit project's scope and objectives. A copy of the audit reports shall be provided to the Department in writing thirty (30) days after the audit is completed. The report shall include recommended corrective actions, if applicable. ■

Conducting External Audits

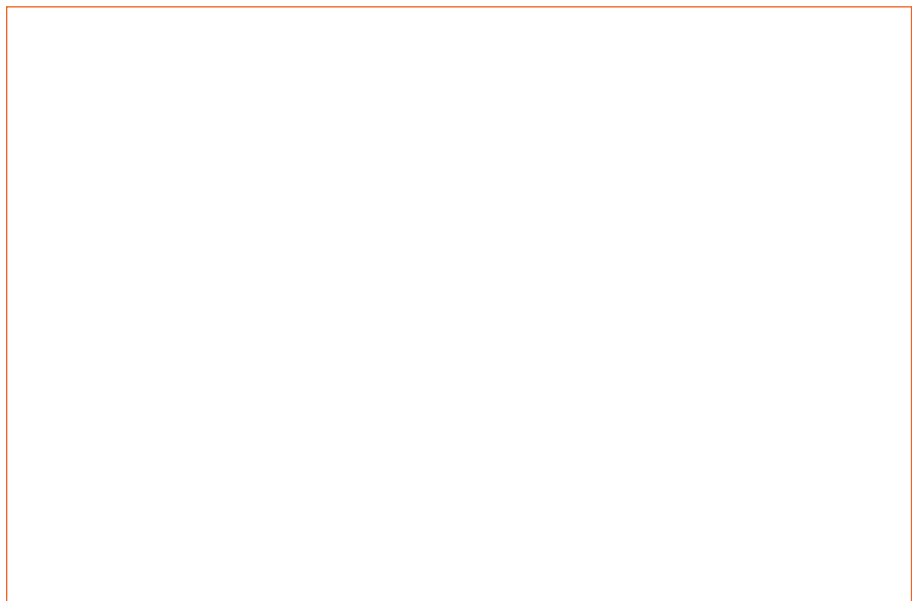
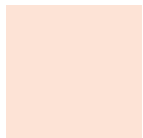
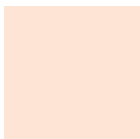
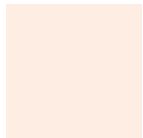


Conducting Internal Audits





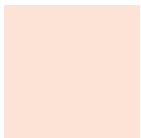
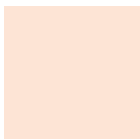
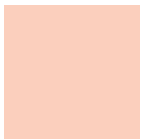
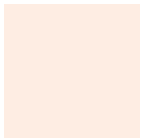
Tracking and Monitoring Internal and External Audits



Scheduling of Audits

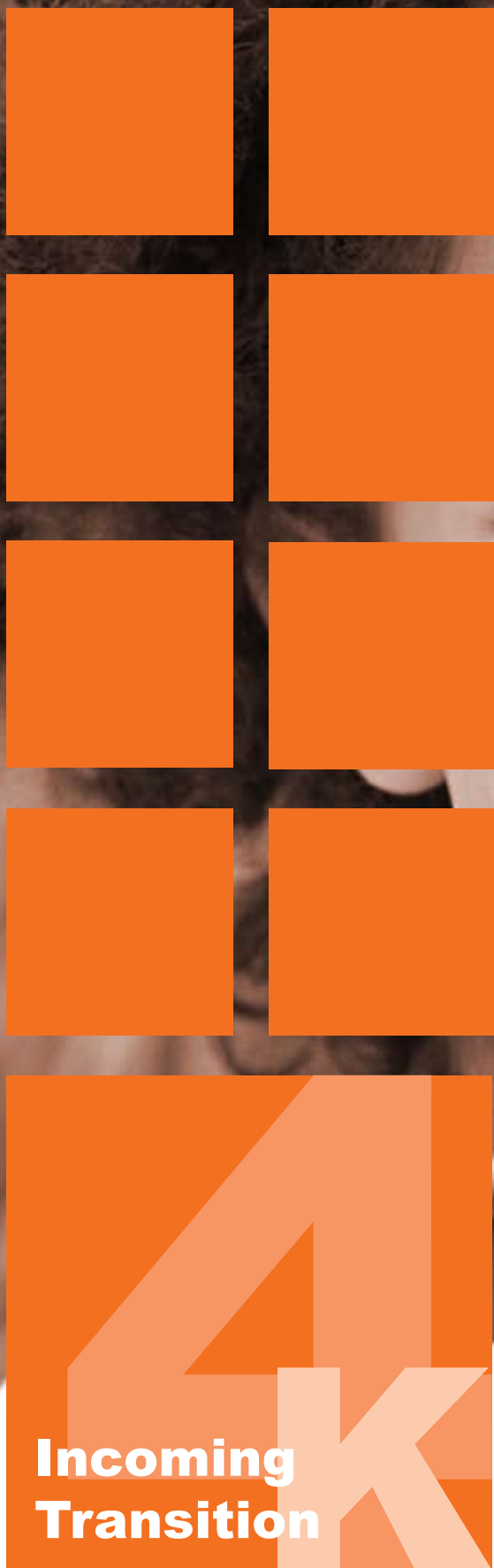


Conclusion – We Have Proven Quality Management Practices to Support the *hawk-i* Program



Team Noridian

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Incoming
Transition

Incoming Transition

Team Noridian ADVANTAGE

- Decades of experience in partnering with federal and state entities to complete workload and system implementations successfully
- A proven and systematic project management plan methodology that can be applied readily to the transition of **hawk-i** administrative functions
- A Communications Plan that brings unity to the transition effort by clearly identifying roles and responsibilities for effectively imparting and sharing information

This section presents Team Noridian's approach to managing the Transition Phase of the Healthy and Well Kids in Iowa (**hawk-i**) project. We use a consistent, repeatable methodology that enables predictability and reliable delivery of products and services while ensuring timely responses and appropriate resolutions of both internal and business partner transition issues. We are well aware that one of our primary objectives is to address, enhance, coordinate, and communicate all relevant activities and issues throughout the transition.

Our activities during the Transition Phase of this program will be essential in building relationships with the Iowa Department of Human Services (Department) and all business partners to ensure a successful integration of the different components needed when we become operational by January 1, 2009. Many processes, activities, tasks, and documents are dependent on understanding the needs, expectations and processes of the **hawk-i** program, and supporting business components. During the definition of the different processes, Team Noridian will acquire a level of understanding of the **hawk-i** business practices to ensure an accurate and seamless transition.

As we describe in the subsections below, Team Noridian will leverage our forty-plus years of project management experience to identify and successfully address all transition activities. We fully understand the importance of being a team player during this highly visible phase and will seek to forge a true partnership with the Department and all other **hawk-i** stakeholders so we can fulfill the objectives of this competitive procurement on time and within budget. We will develop a detailed transition Project Management Plan, Communications Plan, and Transition Schedule to direct the activities of this transition and will monitor and report on all tasks regularly. We are confident that our management approach for the transition of the **hawk-i** program will meet the objectives of a smooth, seamless transition with no disruption to the Department, applicants, or enrollees.

Team Noridian Has Decades of Experience in Seamless Transitions

■ *The TPA shall coordinate activities with MAXIMUS to ensure that the administrative functions of the **hawk-i** program are transferred to the TPA as smoothly as possible and without any interruption in services to Enrollees or applicants. The TPA shall meet with the Department and MAXIMUS within one (1) week after award of the Contract to establish a transition schedule and project plan. The schedule shall include ample time to thoroughly test all processes before implementation.* ■

During the last 20 years, both Noridian Administrative Service, LLC (Noridian) and Infocrossing Healthcare Services, Inc. (Infocrossing) have successfully completed the transition of multiple, significant healthcare operations. These transitions required the careful management of personnel, facilities, system infrastructure, system and processing enhancements, federal agency interaction, and multiple processing

Incoming
Transition

4
Incoming Transition

In addition, Noridian has been responsible for the project management and coordination of multiple data center transitions as a result of a move by the Centers for Medicare & Medicaid Services (CMS) to an Enterprise Data Center (EDC) concept. These transitions have required coordination between multiple entities and have also required aggressive schedules with overlapping transition timeframes. See figure 2-4K for a list of EDC transitions Noridian has managed. This intensive effort resulting in successful data center transitions demonstrates the effectiveness of Noridian's project management approach.

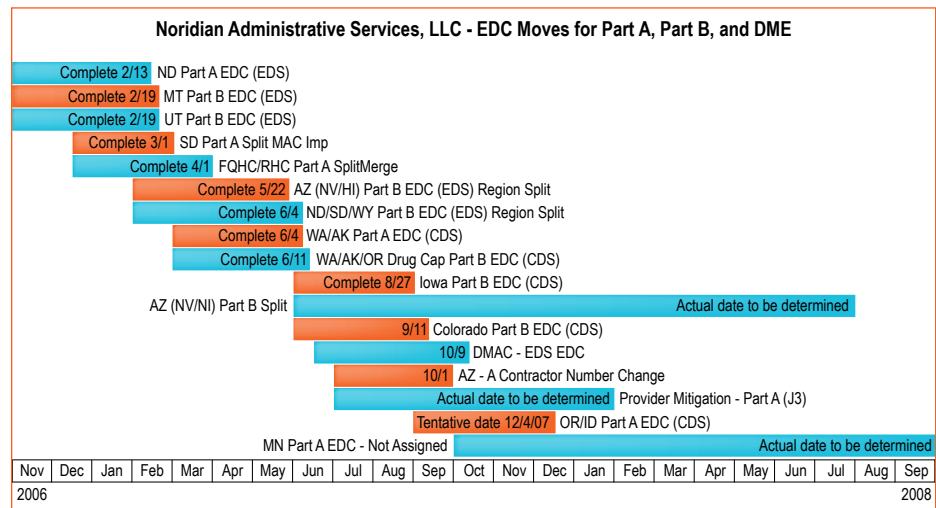


Figure 2-4K. Noridian EDC Moves for Part A, Part B, and DME. Noridian's project management methodology is a proven, successful approach to implementations.

Infocrossing's Transition Experience. As shown in Figure 3-4K (Infocrossing's Transition and Conversion Experience), Infocrossing's history also reflects years of experience in transitions, specifically focused on system implementations, migrations, or transitions for both federal and state programs. One of its largest transition projects to date was to convert seven Medicare carriers to the Multi-Carrier System (MCS), the current Medicare Part B standard system. Over an 18-month period starting in April 2000, Infocrossing converted these seven carriers that were processing claims for 14 state jurisdictions to

**Incoming
Transition**

MCS. As each migrated to the MCS application, Infocrossing provided seamless processing services by running the MCS Medicare application in its data centers. Infocrossing performed each of these conversions within the required time frame and within budget.

Infocrossing's Transition and Conversion Experience		
Service	Customer	Time frame
Medicare Multi-Carrier System (MCS) transitions	<ul style="list-style-type: none"> • Cahaba (Blue Cross Blue Shield (BCBS) of Alabama) • Noridian (BCBS of North Dakota) • Arkansas BCBS • First Coast Service Options, Inc. (BCBS of Florida) • BCBS of Montana • Regence BCBS of Utah 	2000 – 2002
Simultaneous Medicare data center migration <ul style="list-style-type: none"> • BCBS of Montana processing • Regence BCBS of Utah processing 	BCBS of Montana T, Regence BCBS of Utah	2000 – 2001
Medicare data center migration – Missouri jurisdiction	Arkansas BCBS	1999
Simultaneous Medicare claim system implementation for three different companies <ul style="list-style-type: none"> • Cahaba (BCBS of Alabama) • Noridian (BCBS of North Dakota) • Arkansas BCBS 	Aetna Life Insurance Company	1997 – 1998
Implemented Kansas Medicaid Management Information System (MMIS)	BCBS of Kansas	1996
Simultaneous Medicare implementation for two different companies <ul style="list-style-type: none"> • BCBS of Montana processing to BCBS of Utah • Washington processing to Aetna Life Insurance Company 	King County Medicare B	1993
Medicare Single Carrier implementation with multiple sites	Aetna Life Insurance Company	1992 – 1993
Implemented first full function Medicaid Point of Service (POS) in United States	Missouri Division of Medical Services	1992
Medicare Single Carrier implementation	Wisconsin Physicians Service	1990 – 1991
Implemented replacement MMIS claims processing subsystem	Missouri Division of Medical Services	1990
Medicare Single Carrier implementation	Regence BCBS of Utah	1989 – 1990
Medicare Single Carrier implementation - largest claim volume jurisdiction in US	First Coast Service Options, Inc. (BCBS of Florida)	1988
Implemented Missouri Medicaid Fiscal Agent and MMIS	Missouri Division of Medical Services	1988

Figure 3-4K. Infocrossing's Transition and Conversion Experience. *Infocrossing has a wealth of experience in transitioning systems.*

As seen from the tables above, Noridian and Infocrossing each have a wealth of experience in transitioning workload and systems. Combined as Team Noridian, these entities bring more than forty years of commitment to and experience in successful, on-time transitions that are within budget.

For the transition of the **hawk-i** administrative functions, Team Noridian will use the project management approach Noridian uses for all its large scale projects. We use documented procedures, well-defined plans, strong project management controls, customer involvement, and effective communication methods to meet all time and budget constraints with high-quality results. As explained in the remainder of this section of our proposal, this approach uses the following proven project management practices:

- A Project Management Plan that defines all the plans, processes, documented procedures, deliverables, schedules, and strong project management controls that Team Noridian will use for the transition.
- A Transition Schedule that specifies all tasks and activities needed to successfully implement the new **hawk-i** system and operations.
- A Communications Plan that allows for client involvement and effective methods of sharing and coordinating information

Upon contract award, Team Noridian will schedule a meeting with the Department and the incumbent to discuss the development of the full transition Project Management Plan and to refine the preliminary Transition Schedule submitted with this proposal. As directed by the Request for Proposal (RFP), this meeting will occur within one week of the contract award.

Transition Approach

■ *Requirement 3K.1 - Transition Schedule and Project Management Plan. The TPA shall develop a complete and detailed transition schedule and project plan that includes, but is not limited to:*

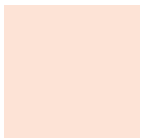
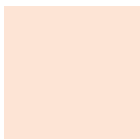
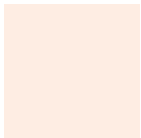
- *Hiring of staff;*
- *Development of system requirements, including application processing, eligibility determination, tracking and quality measurement processes;*
- *Development of policy manual;*
- *Development of correspondence including notices to families, and reports for the Department;*
- *Development of training manual;*
- *Training of staff;*
- *Transition of paper and electronic files; and*
- *Transition of the phone system;*
- *Development of project management plan and control objectives.*
- *Schedule of the meetings listed in Section 3K.2 Meetings.*

The transition schedule and project management plan shall be completed and approved by the Department within two (2) weeks from the start of the Contract.

If the Incumbent Contractor elects to submit a bid proposal, a transition plan shall not be submitted. The Incumbent Contractor shall submit a plan with timeframes for any new processes required by this RFP or new processes proposed in the Incumbent Contractor's bid proposal. ■

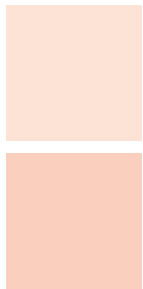
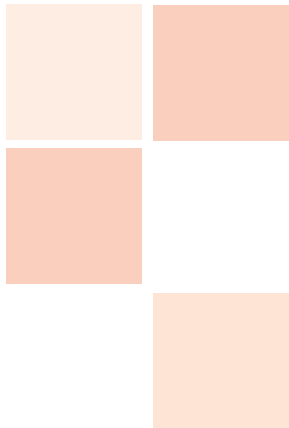
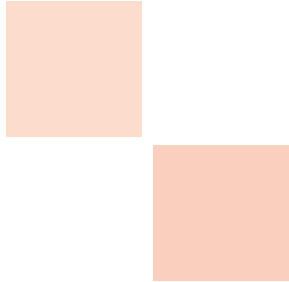
The Core Team Will Direct All Transition Activities

**Incoming
Transition**

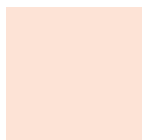
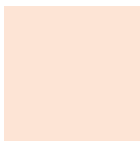
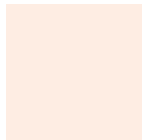


Team Noridian

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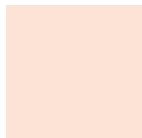
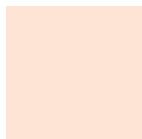
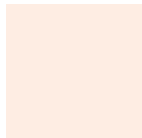
Team Noridian's Transition Project Management Plan Emphasizes the Processes Involved in Classic Project Management Methodologies



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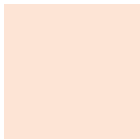
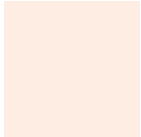
Our Systems Development Plan and Systems Development Life Cycle is Modeled on the Principals of CMM Level 3

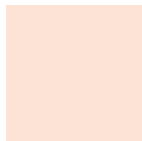
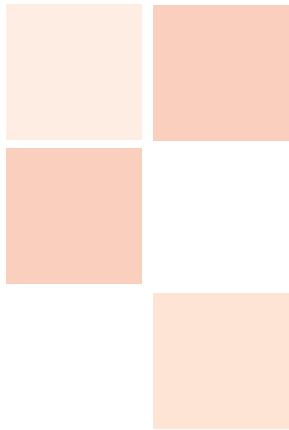
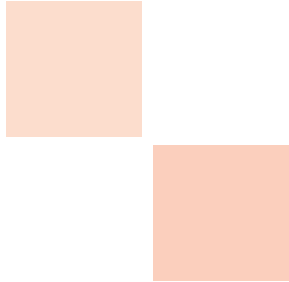






Our Transition Schedule Provides for Concurrent Execution of Tasks to Ensure an On-Time Delivery

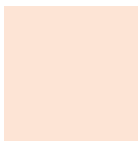
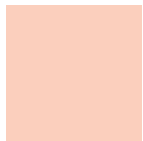
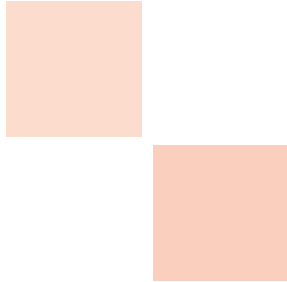




"Early and Often"
communication is the key
to the success of Team
Noridian projects.



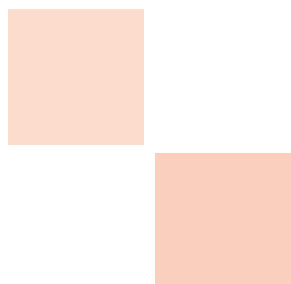
**Our Communications Plan Focuses
on “Early and Often” Communication**



Meetings Will Keep All Stakeholders Informed of Progress and Issues

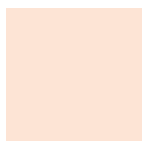
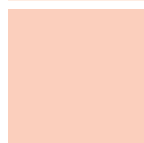
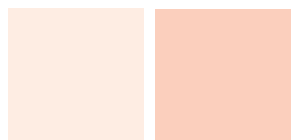
■ *Requirement 3K.2 – Meetings. As part of the transition schedule and project management plan the TPA shall set up meetings as listed below:*

- A. The participating Health and Dental Plans within two (2) weeks after award of the contract to establish protocols that ensure enrollment and capitation files are transferred timely and in accordance with established schedules and file formats;*
- B. The Department's contractor responsible for the analysis of the functional health assessment survey within two (2) weeks after award of the contract to establish protocols that ensure that data regarding the functional health assessment survey is transferred timely and in accordance with established schedules and file formats;*
- C. The Department's data management staff within two (2) weeks after award of the contract to establish protocols that ensure coordination of the TPA's data system with the Medicaid eligibility files and the Medicaid referral system;*
- D. The Department's field operations staff within two (2) weeks after award of the Contract to ensure a smooth transition for the Department's income maintenance staff who are co-located with MAXIMUS.*
- E. The Department's contractor responsible for conducting the insurance data match in two (2) weeks after award of the contract to establish protocols that ensure coordination of the files to and from the TPA with resultant insurance data matches. ■*

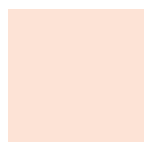


Team Noridian's Data Conversion Plan Will Outline a Strategy to Convert Case and Enrollee Files

■ *Requirement 3K.3 - Case and Enrollee Files. The TPA shall load archived cases into their system. This may mean manually entering the cases into the system. The Department and the TPA shall mutually decide on what cases and from what period the historical cases shall be loaded into the system. The TPA shall use the same participating identification number for existing **hawk-i** enrollees and the same case number for the **hawk-i** families.* ■



We will convert all data and images associated with any pending applications during the actual cutover activity. Once the pending application data has been converted, we will distribute the data through our workflow system so that we can begin to work that inventory. When any data is converted, Team Noridian will retain electronic and, as needed, paper copies of the historical data in their original formats for a period of time to be determined by the Department. All converted, archived data will use the same participating identification number for existing **hawk-i** enrollees and the same case number for **hawk-i** families.



Progress Reports Will be Distributed Weekly Through the Transition Phase

■ *Requirement 3K.4 - Progress Reports. The TPA shall submit written weekly progress reports to the Department each week by noon Monday for the previous week's activities.* ■

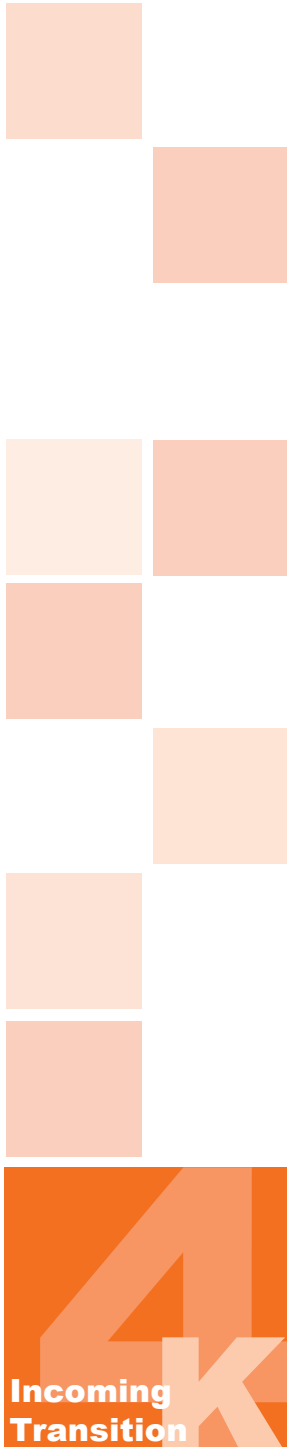
Team Noridian intends to schedule weekly status meetings on a day and time designated by the Department. As stated previously, Team Noridian will distribute minutes from these weekly status meetings and will allow a review and feedback period before finalizing the minutes. Information

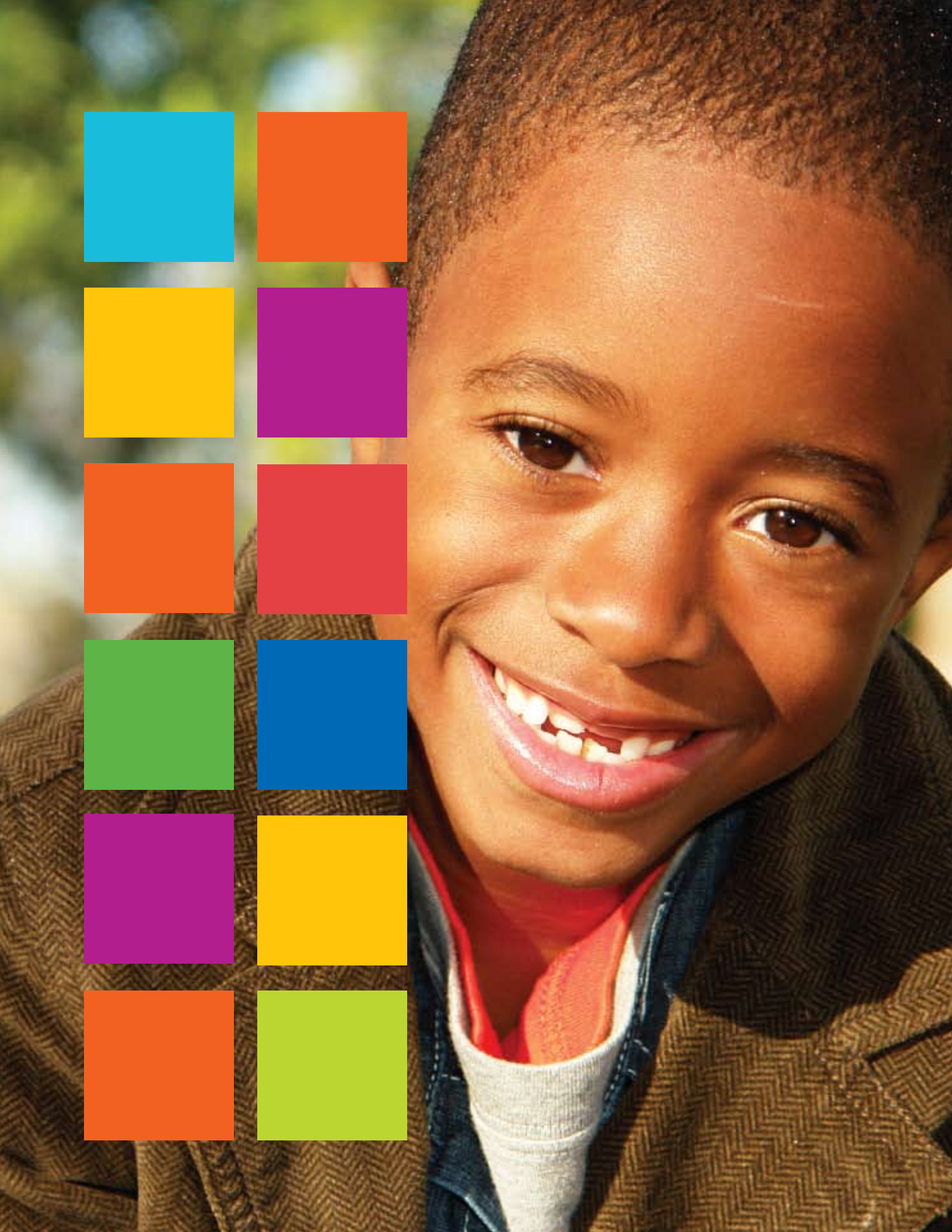


from these status meeting minutes, as well as other project information requested by the Department, will make up the weekly progress report for the previous week's activities. Team Noridian will distribute the weekly progress report to the Department each Monday by noon.

Conclusion – We are Prepared for a Successful Transition

With four decades of experience in a variety of project implementations and transitions, Noridian and Infocrossing, together as Team Noridian, have both the expertise and proven methods to transition the administrative functions of the *hawk-i* program. We can minimize transition risk because we have a well defined approach—an approach that uses a carefully constructed Transition Schedule and Project Management Plan supported by a strong Communications Plan. Because we have an established approach, we don't spend time developing the how-to's of a transition. Rather, we focus on using our existing tools to complete the transition in a timely manner without disconnect, resulting in smooth continuity of the *hawk-i* program and increased quality of service to the Department and those whom the program serves.







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Other
Requirements

Other Requirements

Team Noridian ADVANTAGE

- Years of experience administering contracts that necessitate the same or similar requirements as **hawk-i**
- Active participation in workgroups and demonstrated commitment to the Health Insurance Portability and Accountability Act and privacy and security regulations
- Established and clearly documented Business Contingency and Continuity Plan (BCCP) and Systems and Data Security Plan (SDSP)

Noridian Administrative Services, LLC (Noridian) and Infocrossing Healthcare Services, Inc. (Infocrossing), our subcontractor in the Team Noridian arrangement, both administer contracts that require management of key personnel, media contacts, meetings, office space and equipment, the Health Insurance Portability and Accountability Act, application processes like the Healthy and Well Kids in Iowa's (**hawk-i's**) free and reduced meals program, error rate testing similar to **hawk-i's** payment error rate measurement, security disaster recovery and contingency plans, and systems and data security plans. Together as Team Noridian, we are prepared to connect our experience in these areas to the Iowa Department of Human Services' (Department's) specific needs for **hawk-i**, ensuring a responsive, perceptive management of administrative functions that places no obstacles in the way of a smooth transition.

Our Key Personnel and Staffing Approach Minimize Transition Risk

■ *Requirement 3L.1 - Key Personnel. The Department reserves the right of prior approval for all named key personnel in the TPA's proposal. The Department also reserves the right of prior approval for any replacement of key personnel. The Department will provide the selected TPA thirty (30) days to find a satisfactory replacement for the position except in cases of flagrant violation of state or federal law or contractual terms. The Department reserves the right to interview any and all candidates for named key positions prior to approving the personnel.* ■

In proposal Section 6 (Personnel), Team Noridian provides two key personnel resumes, one for the position of **hawk-i** Project Manager, and one for the position of **hawk-i** Systems Manager. Our proposed Project Manager, Ms. Missy Eilander, is the Operations Manager of Noridian's Des Moines, Iowa Medicare Operations and has many years of customer service experiences that will benefit the **hawk-i** contract. Our proposed Systems Manager, Mr. Richard Chamberlin, currently works as Noridian's Lead Technical Analyst in its Iowa Medicaid Enterprise (IME) office. As we mentioned in Section 4A (Customer Service) when Team Noridian is awarded the **hawk-i** contract, efforts will begin immediately to replace Mr. Chamberlin in his current position with the IME. Team Noridian management has many qualified staff to draw from and will ensure that the IME is not negatively impacted. Additional corporate support will be brought in to assist when needed. Both of our proposed key personnel have experience with workload transitions, customer service, and project management, and we are extremely confident that they will provide for a smooth transition and meet the Department's approval.

Team Noridian acknowledges that the Department must approve all key personnel and that any changes to these two key personnel will require prior approval by the Department. We further understand that the Department will allow Team Noridian 30 days to replace a key personnel position (except in cases of flagrant violation of state or federal law or contractual terms). Should a replacement of either position ever be necessary, we would welcome the Department's input into our interview and selection process.

Other Requirements

This collaborative process has worked very well for both us and our clients. For example, in Noridian's current contract for the IME, it has extended the invitation to the State Unit Manager to participate in the interview process and/or meet with the interviewee(s) separately.

To fill the other positions needed for the **hawk-i** operation, Team Noridian will select highly qualified staff from three main areas: the incumbent, current and past Noridian employees, and external job applicants. We fully explain our staffing and recruitment approach in Section 4A (Customer Service) of this proposal and have provided a brief summary below.

We will first seek qualified individuals from the incumbent's staff. We value the knowledge and experience of the incumbent's workforce and realize that by recruiting qualified employees from this group, we'll minimize learning curves and transition risks. Experience we've gained through other projects and implementations has taught us that recruitment and retention of the incumbent's qualified employees is greatly increased when our management staff meet with the incumbent's employees at their place of employment, introduce themselves and the company, discuss plans for local operations, and answer the employee's questions as openly as possible.

After searching for qualified individuals from the incumbent's staff, Team Noridian will look at current and past Noridian employees located in the Des Moines area, including those from Noridian's IME staff and those from its Medicare staff. Even though Noridian's current Des Moines Medicare facility will be closed in February 2008, there is a possibility of retaining some of those highly qualified staff. All of Noridian's employees in Iowa are compassionate Iowans with many years of healthcare and customer service experience. Again, we realize that by recruiting from Noridian's own staff located in Iowa, we minimize the learning curve and transition risk. Also, because these Noridian employees use the OnBase tool that we propose using for **hawk-i**, their knowledge of OnBase is an additional way for us to decrease the learning curve and reduce risk.

In the event we cannot fill positions from incumbent or Noridian sources, we will use a proven recruitment and staffing approach to seek qualified personnel from outside these two organizations. This approach, fully described in Section 4A (Customer Service), will also be used to hire new staff as needed throughout the Operations Phase of the project.

We Manage Media Contacts to Ensure Privacy

■ *Requirement 3L.2 - Media Contacts. The TPA shall not provide data to the media or give media interviews without the express consent of the Department. Any contacts by the media or other entity or individual not directly related to the program shall be referred to the Department. Upon request of the Department, the TPA shall provide names, phone numbers and addresses of Enrollees to the Department for possible media contacts.* ■

Team Noridian acknowledges and has extensive experience appropriately managing privacy issues inherent in the healthcare industry. The complexity and sensitivity of the **hawk-i** program demands the utmost respect and attention. We understand that if we are awarded the **hawk-i**

By recruiting from Noridian's own staff located in Iowa, we minimize the learning curve and transition risk.

Other Requirements

administrative services contract, we cannot have contact with the media or other entities not directly related to the **hawk-i** program without the Department's consent.

Team Noridian will provide its **hawk-i** staff with training and written guidelines on how to handle media requests for data or interviews received in any form, including by phone, in writing, or by means of the Web site. When we receive a request for information from the media, Team Noridian will follow the defined protocol and promptly forward the request to the designated Department personnel for direction and/or response.

Team Noridian will comply with Department requests for enrollee demographic or statistical information. We will develop procedures for requesting, tracking, and delivering information between Team Noridian and the Department.

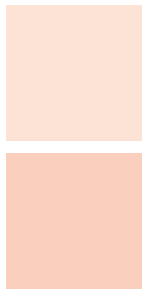
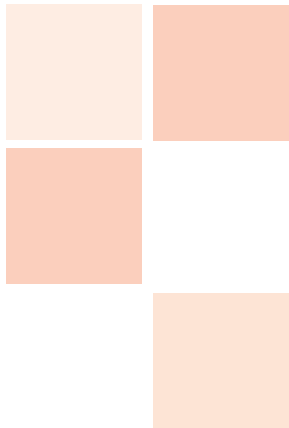
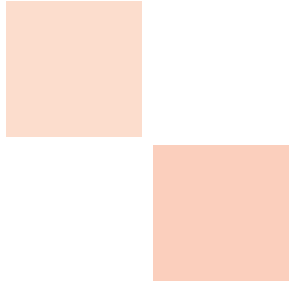
Regular Meetings Are Part of Our Communication Plan

■ *Requirement 3L.3 – Meetings. As amended in Amendment One, in addition to the requirements listed in Attachment 13 Contract Terms and Conditions, I(2), the TPA shall be accessible for meetings with the Department and others including, but not limited to:*

- A. *Weekly Department Meetings. The TPA shall meet with the Department on a weekly basis to discuss current activities and projects and other issues as necessary. These meetings may include quality control reviewers, outreach coordinators, or other persons as determined by the Department. The Department shall be responsible for setting the agenda and taking minutes of the meetings. The TPA's project manager or designee shall be present at all meetings. The TPA shall be responsible for having the appropriate staff attend as required by the agenda.*
- B. *Health and Dental Plan Meetings. The Department and the TPA shall meet with the participating Health and Dental Plans on a schedule as determined by all parties to discuss any issues that relate to the TPA and/or the Health and Dental Plans.*
- C. ***hawk-i** Board Meetings. The TPA's designated staff shall attend meetings of the **hawk-i** Board and be available to respond to questions when necessary.*
- D. *Other Meetings. The TPA shall attend other meetings as determined by the Department. The Department reserves the right to require senior management of the TPA to attend any or all of the above meetings when necessary. Attendance by senior management may be either by telephone conference call or in person as determined by the Department. All costs associated with senior management attendance shall be the responsibility of the TPA. ■*

"Early and often" communication is our motto that drives development of and adherence to our Communication Plan.

Other Requirements



We Have Office Space and Equipment Readily Available

■ Requirement 3L.4 - Office Space and Equipment. The TPA shall operate the **hawk-i** customer service center from an office in the greater Des Moines, Iowa area. The office shall be accessible for walk-ins and individuals with disabilities.

The TPA shall provide all office space and equipment necessary for the operation of the program to the TPA's staff. The TPA shall also provide office space to accommodate up to ten (10) Department staff who will be co-located with the TPA. (The Department staff will determine Medicaid eligibility for referred applications). The TPA shall provide the office equipment, including desks, file cabinets, chairs and shelves for the on-site Department staff. The TPA shall provide the phones and FAX lines used by the on-site Department staff with the charges for the phones and FAX billed to the Department.

The TPA shall ensure that electrical communications, telephone services, and equipment, provided to the Department's on-site staff are comparable to those provided to and used by the TPA staff. The Department shall be responsible for providing the computers and computer upgrades for the Department's on-site staff. The Department may in its sole discretion agree to pay the TPA for the reasonable rent of the office space for the Department's on-site staff. The Department shall have final approval for the terms of the TPA's lease for office space. ■

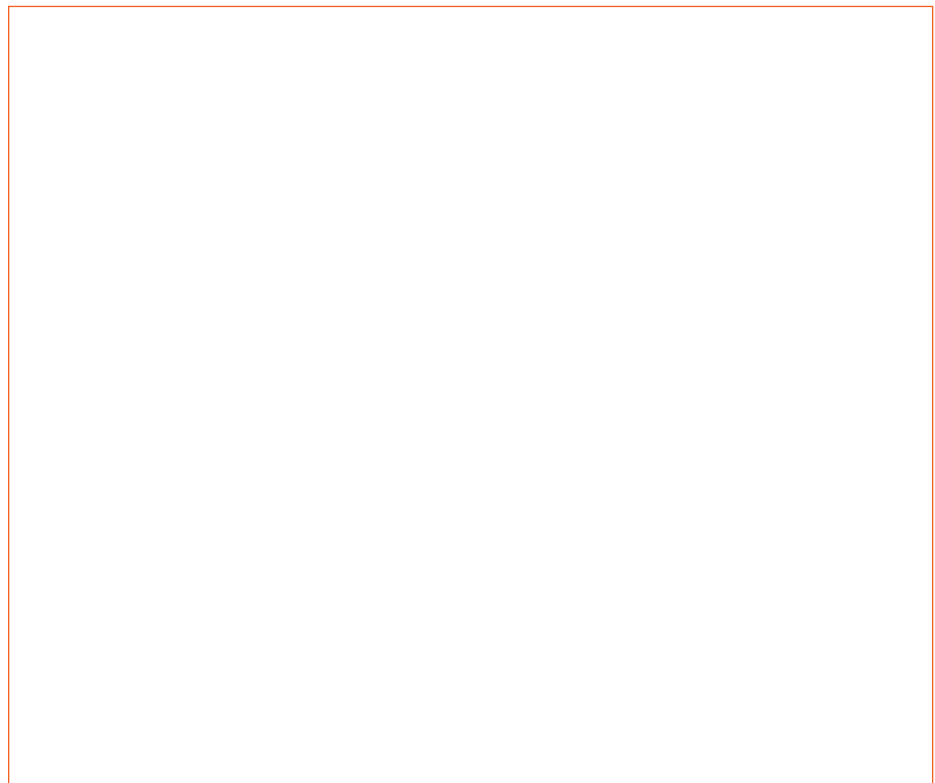
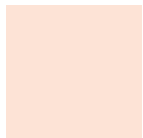
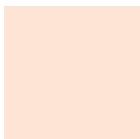
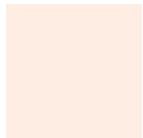
Team Noridian has an office at 2200 Rittenhouse Street, Des Moines, Iowa for its current Medicare operations. This Medicare operation center will be closing in February 2008, but the office space will remain available for equipment, infrastructure, mailroom, and the Customer Service Center. This office is accessible to customer walk-ins, individuals with disabilities, Department staff, and other visitors.

Team Noridian will renovate the office to meet the needs of our **hawk-i** staff and up to 10 Department staff. Network and phone connectivity is already established for this office, but we will evaluate this existing connectivity and upgrade it, if necessary, to ensure it meets the needs of the **hawk-i** program and its workload.

Staff will be able to immediately begin using the Des Moines facility at the start of the Transition Phase. During Operations, the following staff will work at the Des Moines facility:

- Project Manager
- Systems Manager
- Implementation Manager
- Team Leader
- Mail Processors
- Enrollment Customer Service Representatives
- Financial Specialists
- Trainer / Process Analyst
- Quality Analysts

Other Requirements



Our Commitment to the Health Insurance Portability and Accountability Act and Privacy and Security is Long-Standing

■ *Requirement 3L.5 - Health Insurance Portability and Accountability Act. The TPA is a business associate of the Department, as defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA)(45 CFR Part 164) and upon award of the contract shall sign the Business Associate Agreement as set forth in Attachment 5.*

The TPA shall ensure the security of protected health information about Enrollees it receives or maintains in a designated record set, or any other manner, in the performance of the Contract, as set forth in 45 CFR Part 164. The TPA shall report to the Department any breach of privacy. ■

Team Noridian acknowledges that it will be a Business Associate of the Department as defined in the Code of Federal Regulations (CFR) 45 Part 164. Upon award of the contract, Team Noridian will sign the Business Associate Agreement enclosed as Attachment Five of the **hawk-i** Request for Proposal (RFP).

Noridian and its subcontractor, Infocrossing, have long-standing and unwavering commitments to the confidentiality, privacy, and security of health information. Noridian has continually met the Centers for Medicare & Medicaid Services (CMS) requirements for the Privacy Act of 1974 and the Health Insurance and Privacy and Accountability Act (HIPAA) Privacy Rule for all of its lines of business. Noridian and Infocrossing support multiple government contracts; compliance with HIPAA regulations are a fundamental part of all such business. Therefore Team Noridian is also compliant with the CMS security requirements and the HIPAA Security Rule.

In addition to a commitment to HIPAA compliance, Team Noridian has a commitment to drive the direction of HIPAA implementation within the industry. Representatives from Team Noridian have served on the Workgroup for Electronic Data Interchange (WEDI) and the HIPAA Strategic National Implementation Process (SNIP) Transactions and Code Sets Workgroups. Noridian and Infocrossing have both worked directly with the CMS on the Technical Advisory Group (TAG). In fact, the CMS has recommended the use of a System Data and Security Plan (SDSP) created by Noridian as the prototype for other contractors' SDSP creation. Figure 2-4L (Industry Participation) depicts several of the industry-wide initiatives in which Team Noridian participates.

Industry Participation	Noridian	Infocrossing
Workgroup for Electronic Data Interchange (WEDI)	X	X
WEDI Claims Attachment (275) Workgroup	X	X
Missouri Strategic National Implementation Plan (MO SNIP)		X
National Council for Prescription Drug Program (NCPDP)	X	X
National Medicaid EDI HIPAA (NMEH) membership	X	X
NMEH Medicaid Information Technology Architecture (MITA) Workgroup	X	X
Private Sector – Technology Group (PS-TG)	X	X
CMS Technical Advisory Group (CMS TAG)	X	X
HIPAA Integration and Transition (HIT)		X
International DB2 User Group		X
Healthcare Information and Management Systems Society (HIMSS)	X	X
Open MMIS Initiative		X

Figure 2-4L. Industry Participation. Team Noridian participates in many industry initiatives in an effort to drive the direction of various healthcare related implementations.

Team Noridian will assess compliance with HIPAA privacy and security regulations at multiple points throughout the contract. Annual external and

**Other
Requirements**

internal auditing will take place in accordance with our plans identified in Section 4J (Quality Management). These audits will focus on the success of efforts taken to assure privacy of Protected Health Information (PHI) as well as the security of the systems housing such information. Team Noridian will share the results of all HIPAA audits with the Department and will thoroughly assess, plan, and implement any remediation efforts or corrections in close communication with the Department.

As discussed in Section 4H (Training), Team Noridian will place a particularly high priority on privacy and security training for the *hawk-i* operation. Privacy and security training will be accomplished through Noridian's established training approach. Prior to allowing new hires access to PHI and other sensitive information, Noridian provides general privacy and security awareness training, and based on job responsibilities, customized privacy and security training is also provided. In addition to the new hire training, Noridian's policy is that all employees receive annual awareness and customized privacy and security training. See Figure 3-4L (Compliance, Privacy, and Security Training) for an example of the training provided to employees from our VigilEnt Policy Center.

One very important aspect of privacy and security training will be following proper procedures to safeguard data and records. These procedures include allowing access to system(s) to only authorized individuals, requiring strong passwords and employee identifiers for system(s) access, and maintaining confidential materials in secured areas. Training programs will focus on the importance of maintaining confidentiality and safeguarding data and files.

Another very important aspect of privacy and security training are the procedures for reporting security breaches. Team Noridian provides

Other Requirements

multiple methods for reporting breaches in security, including by telephone, in writing or electronically. Security breaches may be reported anonymously, even by telephone where the voice on the recorded message is disguised to guarantee anonymity. Team Noridian will immediately notify the Department of any and all breaches in privacy or security.

We are confident that our knowledge of HIPAA privacy and security regulations, our continued work with HIPAA workgroups, our internal and external audits of HIPAA compliance, our success in adhering to HIPAA regulations, and our employee privacy and security training will exceed the Department's requirements for safeguarding PHI.

We Will Support the Free and Reduced Meals Program

■ *Requirement 3L.6 - Free and Reduced Meals Program. The TPA shall be responsible for receiving lists in an electronic format from Iowa Schools. At a minimum, names and addresses of potential applicants from Iowa schools Free and Reduced Meals Program shall be sent to the TPA. The TPA will then send an application and cover letter to each family or child on the list within three (3) business days from the day the names were entered on the Web site by the schools or school districts.* ■

Team Noridian will use OnBase, Noridian's Electronic Document Management System (EDMS), to build automated workflow(s) to process the receipt and response to a list of potential applicants for the Free and Reduced Meals Program. Individual Iowa schools or school districts will send Team Noridian an electronic file listing the names of potential applicants. OnBase will automatically extract each line of those lists and an automated request will be routed within the workflow(s) to our mail processing staff. The Mail Processors will then prepare and mail a cover letter and application to the family or care providers of each potential applicant. In cases of higher volumes, Team Noridian will use Noridian's corporate printing and mail operations center in Fargo to expedite the mailing of these applications to the families.

Team Noridian will also have processes in place to accept a list either through a compact disk (CD) or by paper. If a paper list is received, its contents will be manually typed into OnBase, which will then automatically and electronically route the resulting template to the mail processing staff.

We Will Support Payment Error Rate Measurement

■ *Requirement 3L.7 - Payment Error Rate Measurement (PERM). The Payment Error Rate Measurement (PERM) is an evaluation of eligibility determinations and capitation payments made as required by the federal regulations. The TPA shall send files (applications, denied applications, ongoing cases and disenrolled cases) in a format as specified by the Department's PERM contractor. The TPA shall also cooperate and provide necessary files to the Department's PERM contractor; this may include access to the TPA system.* ■

Team Noridian's Systems Manager will work with the Department and the Department's Payment Error Rate Measurement (PERM) contractor

**Other
Requirements**

early during the Transition Phase to define requirements, file formats, and time frames for sending the required files and information to support PERM-related processes. Team Noridian has included PERM related activities in our transition planning and will fully test the process during the Transition Phase.

Team Noridian will also meet with the Department early in the Transition Phase to discuss how to best accommodate the requirements for the PERM contractor's access to the **hawk-i** system, including the potential to integrate electronic document management systems to make the passing of electronic documents more cost efficient.

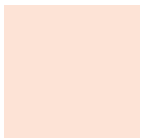
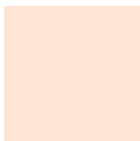
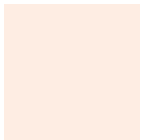
Our Security Disaster Recovery and Contingency Plan Will Provide for Uninterrupted and Protected Operations

■ *Requirement 3L.8 - Security Disaster Recovery and Contingency Plan. The TPA shall develop and maintain a written Security, Disaster Recovery and Contingency Plan, which shall be updated as necessary. The Security, Disaster Recovery and Contingency Plan shall detail alternative options for providing the administrative services contained within this RFP in the event of a natural or manmade disaster. The plans shall detail alternative headquarter sites in case of a regional disaster which disables the administrative vendor facility. The plan shall also detail how the program data systems will be transferred to the new location and the process for staffing the new facility. The plan shall include making backup tapes of software and databases. The plan shall also detail a program telephone system failure contingency plan when the program systems are inoperable or overwhelmed by call volume. Updates to the Security, Disaster Recovery and Contingency Plan shall be approved by the Department.*

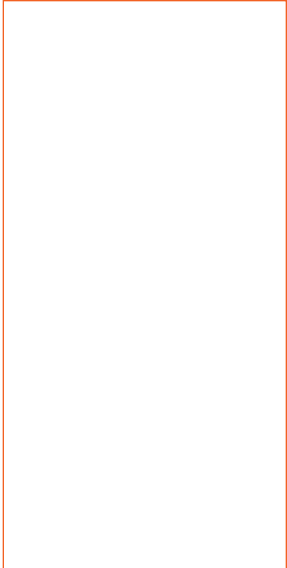
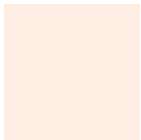
The TPA shall also provide physical site and data security sufficient to safeguard the confidential nature of all data, which may include, but is not limited to, encryption of data transmitted electronically. The TPA and the system shall comply with the Federal Information Processing Standards (FIPS) outlined in the following publications:

- *Automatic Data Processing Physical Security and Risk Management (FIPS PUB.31).*
- *Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191).* ■

Other Requirements

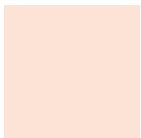
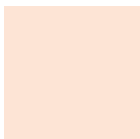
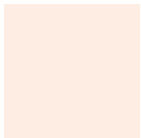


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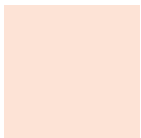
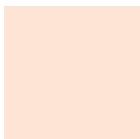
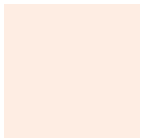


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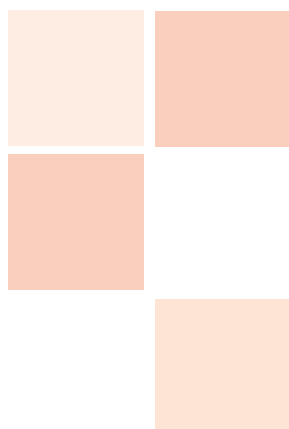
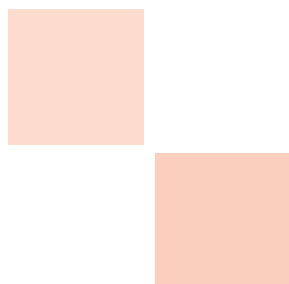
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Our Systems and Data Security Plan (SDSP) Will Protect *hawk-i* From Threats and Hazards

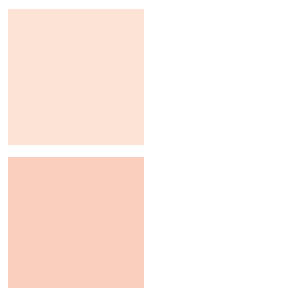
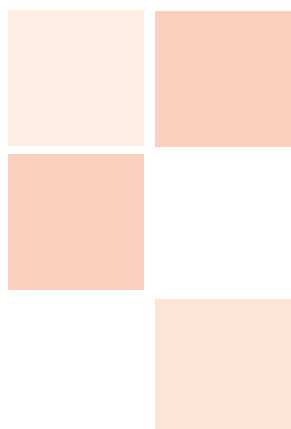
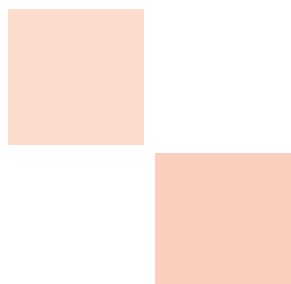
Team Noridian will protect against threats or hazards to the facilities and their contents used for *hawk-i*, the *hawk-i* processing system software and hardware, and all *hawk-i* data and assets entrusted to us. Team Noridian will ensure that only authorized persons enter the facility, and that users can access only the applications and the data for which they have the need and authority to access. In addition to the physical security measures used to protect our facilities and prevent unauthorized entry, our IT systems have been designed with security features that meet or exceed all current state and federal requirements for privacy protection and prevention of unauthorized access or use of data. Commercial Off-the-Shelf (COTS) firewalls and network monitors prevent external intrusions and detect and report unauthorized access attempts. We protect all desktops and laptops with the latest antivirus and hard-drive encryption software maintained by a central Noridian security office.

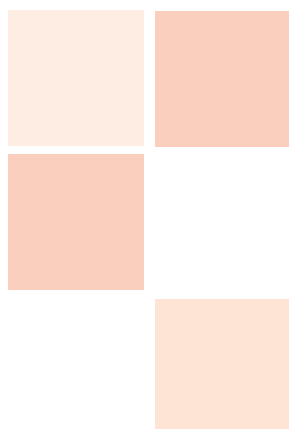
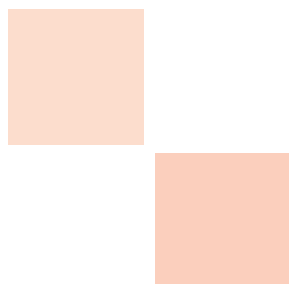
We will present our security plan early in the Transition Phase and obtain the Department's approval before implementing the plan. The plan will address physical site security, system access security, data security, system and data integrity measures, network security, and the procedures for implementing, managing, and administering the plan.

Team Noridian has reviewed and is familiar with the applicable state and federal security and privacy rules and regulations. As we develop the SDSP for this project, we will ensure all procedures are compliant with all of the following:

- Medicaid confidentiality statute. Section 1902(a)(7) of the Social Security Act, codified at 42 U.S.C. Sec. 1396a(a)(7)
- Medicaid confidentiality regulations. 42 CFR Part 431, Subpart F
- Health Insurance Portability and Accountability Act of 1996. Public Law 104-191

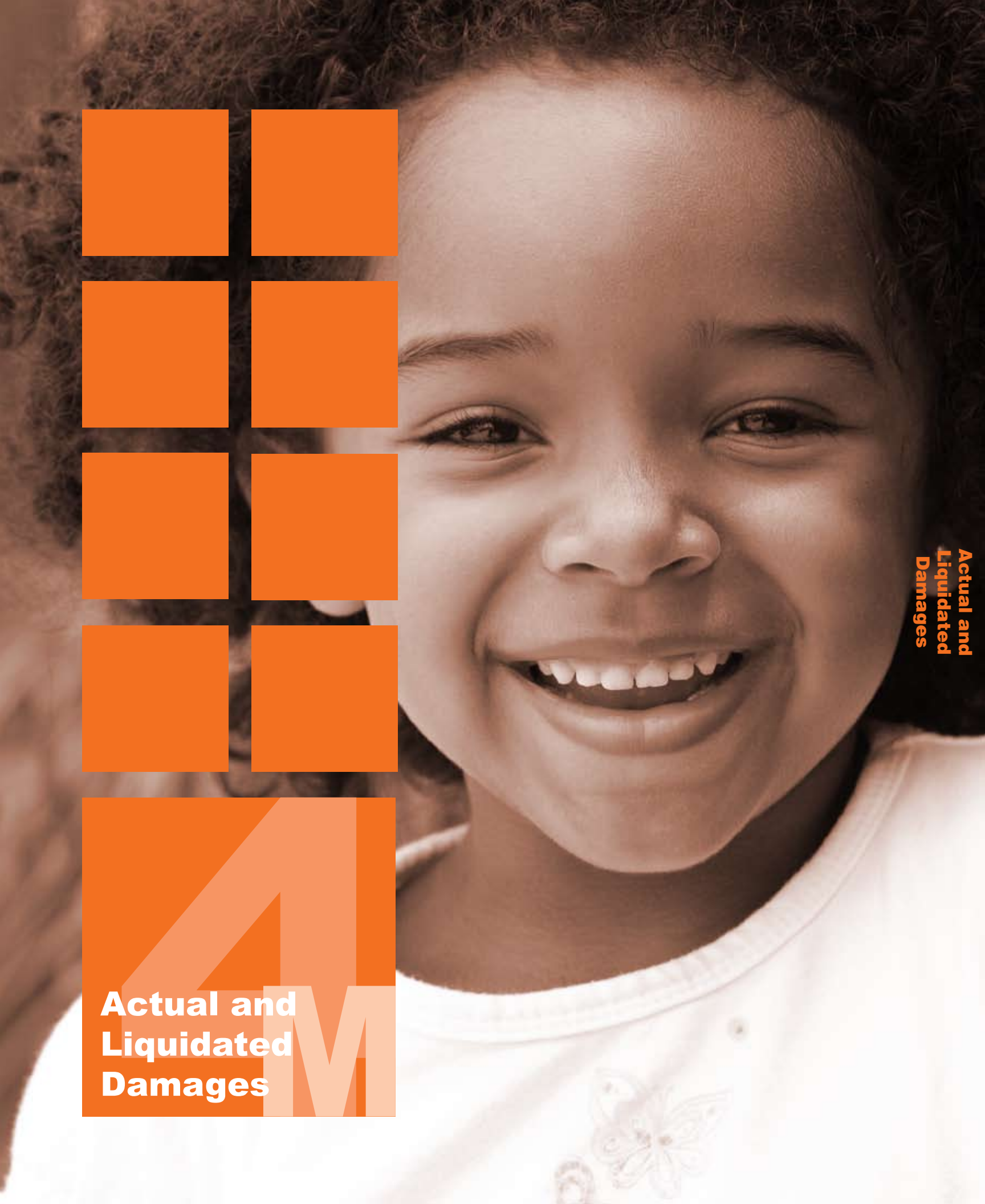
- Standards for Privacy of Individually Identifiable Health Information. 45 CFR Parts 160 and 164
- Automatic Data Processing Physical Security and Risk Management (FIPS Pub. 31)
- Security and Electronic Signature Standards. 45 CFR Part 142 (NPRM).





Conclusion – Team Noridian Meets the Department’s Need for an Experienced and Prepared Third Party Administrator (TPA)

With years of experience in contract administration and healthcare services, Noridian and Infocrossing, together as Team Noridian, are prepared to be take on the TPA functions for the *hawk-i* administrative services contract. We bring not only relevant experience to each area listed as “Other Requirements” in the RFP, but also established, documented processes. Our experience brings peace of mind because we have the tools in place to meet the administrative requirements of the *hawk-i* program. With Team Noridian, the Department will have an experienced and prepared partner for the *hawk-i* program.



**Actual and
Liquidated
Damages**

**Actual and
Liquidated
Damages**



Actual and Liquidated Damages

Team Noridian ADVANTAGE

- Team Noridian boasts a 100% success rate in meeting transition date deadlines.
- Our established Quality Management Program will proactively address performance, timeliness, and quality measurements to reduce the risk of erroneous payments.
- Team Noridian's strong internal controls, compliance program, and commitment to quality will play an essential role in the day-to-day management of the **hawk-i** program to ensure we can meet or exceed the Department's performance expectations.

Actual and Liquidated Damages

While Team Noridian understands and will fully comply with its obligations regarding actual and liquidated damages, Team Noridian believes its proven track record of 100% on time implementations, its strong project management methodologies, along with its internal controls, compliance program, and Quality Management Program will significantly reduce any of the risks described in this section. We will use documented procedures, well-defined plans, strong project management controls, customer involvement, and effective communication methods to meet all time and budget constraints associated with this program. Our highly successful management of similar development, conversion, and transitions efforts over the years has evolved into a sound project management approach with a proven track record. Team Noridian has continually operated under the guiding principles of a best value model, which takes quality, cost, performance, and agility into consideration.

For these reasons, we are confident we will provide the Iowa Department of Human Services (Department) with a smooth, low-risk transition of the Health and Well Kids in Iowa (**hawk-i**) system and administrative functions.

Team Noridian's 100% On-Time Transition Track-Record will Mitigate the Risks of Actual Damages Occurring

■ *Requirement 3M.1 - Actual Damages. 3M.1.1 – Operations Start Date. The **hawk-i** system shall be Fully Operational on January 1, 2009. Compliance with the January 1, 2009, date is critical to the Department's interest. Therefore, the TPA will be liable for resulting damages if this date is not met. The TPA's capability to meet this date will be determined by the Department. If the **hawk-i** system is not Fully Operational by the start date due to the TPA's failure, then the TPA will forfeit all claims to reimbursement of monthly expenses or operational payments for that month and each month thereafter, until the **hawk-i** system is Fully Operational as determined by the Department.*

In addition, the TPA will be liable for all additional costs incurred by the Department to continue current operations. The additional costs are defined as any contingency costs associated with extending the contract with the incumbent TPA and any increase in the operating payments to the incumbent TPA resulting from the emergency extension. ■

Team Noridian understands the importance of meeting the January 1, 2009 operations start date for the **hawk-i** program and is committed to a successful, on-time implementation. We are confident that the combined abilities and proven experience of Noridian Administrative Services, LLC (Noridian) and Infocrossing Healthcare Services, Inc. (Infocrossing), which boast a 100 percent success rate in meeting operations start dates, can meet this deadline. Using documented procedures, well-defined plans, strong project management controls, customer involvement, and effective communication methods, Team Noridian will meet all time and budget constraints with high-quality results.

Noridian's 100% on-time delivery has held up even under extremely compressed timeframes. For example, the transition period for the

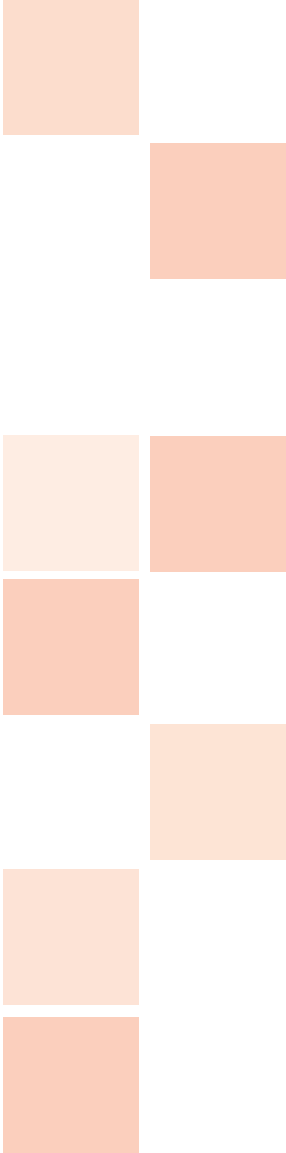
Medicare Part A transition involving the combined workload of Idaho, Oregon, and Utah was 30 days. The Jurisdiction 3 Medicare Administrative Contractor (J3 MAC) Arizona Part A transition required Noridian's proven abilities to meet the accelerated implementation to J3 MAC processing within 60 days of award.

To demonstrate Team Noridian's extensive implementation / transition experience, we present Figures 1-4M (Noridian's Implementation / Transition Experience) and 2-4M (Infocrossing's Implementation / Transition Experience). The first figure shows all of the contractors involved in the Centers for Medicare & Medicaid Services (CMS) implementations / transitions during the past three years. The contractor column clearly highlights the extensive depth of implementation experience that Noridian has compared to other contractors. Each implementation / transition was successfully accomplished on the agreed to or contracted schedule and within budget. The second figure illustrates Infocrossing's recent implementation / transition experience. Again, all implementations were successfully accomplished on time and within budget.

Year	Contractor	Major Workload Implementation / Transition (Past 3 Years)	Program
2007	CIGNA	DME MAC Jurisdiction C Workload Implementation	DME
2007	Noridian	FQHC and RHC Workload Implementation into J3 MAC	Part A
2007	Noridian	South Dakota Part A MAC Segment Workload Implementation	Part A
2006	Noridian	DME MAC Jurisdiction D Workload Implementation	DME
2006	NGS	DME MAC Jurisdiction B Workload Implementation	DME
2006	NHIC	DME MAC Jurisdiction A Workload Implementation	DME
2006	Noridian	Medicare Advantage Special Payment Support Contract (Essential Hospital)	Part A
2006	Noridian	North Dakota and Utah Part A MAC Segment Workload Implementation	Part A
2006	Noridian	Arizona Part A MAC Segment Implementation	Part A
2006	Noridian	Montana Part A and Part B MAC Segment Workload Implementation	Part A and B
2006	Noridian	Arizona, Wyoming, North Dakota, South Dakota, Utah Part B MAC Segment Implementation	Part B
2006	Noridian	Wyoming Part A and Part B MAC Segment Workload Implementation	Part B
2006	Noridian	Competitive Acquisition Program for Part B Drugs and Biological	Part B
2005	Highmark	Maryland and Washington, D.C.	Part A
2005	Noridian	Utah Workload Transition	Part A
2005	Noridian	Oregon/Idaho Workload Implementation	Part A
2005	Noridian	Idaho/Oregon/Utah Workload Transition	Part B
2004	Noridian	Washington/Alaska Workload	Part A

Figure 1-4M. Noridian's Implementation / Transition Experience. In the last three years Noridian has been selected by the CMS more than any other contractor.

**Actual and
Liquidated
Damages**



Year	Client	Implementation Type
2007	Sun Health	Q/Care Benefit Management System
2006-2007	Express Scripts Golden Cross Medical Mutual of Ohio	Q/Advantage Member Management System
2000-2002	Cahaba (Blue Cross Blue Shield (BCBS) of Alabama) Noridian (BCBS of North Dakota) Arkansas BCBS FCSO (BCBS of Florida) BCBS of Montana Regence BCBS of Utah	Medicare Multi-Carrier System (MCS) transitions
2000-2001	BCBS of Montana processing to Infocrossing Regence BCBS of Utah processing to Infocrossing	Simultaneous data center migrations
2000	CIGNA	Compressed Q/Care Implementation
1999	Arkansas BCBS	Medicare data center migration – Missouri jurisdiction
1997-1998	Aetna Life Insurance Company	Simultaneous implementation for three companies: Cahaba (BCBS of Alabama) Noridian (BCBS of North Dakota) Arkansas BCBS

Figure 2-4M. Infocrossing's Implementation / Transition Experience. Infocrossing has extensive recent experience with implementations and transitions.

Because of this well-proven experience, Team Noridian is confident we have the skills and resources available to meet the needs of the Department and ensure a timely transition of the **hawk-i** program.

In the event the **hawk-i** system is not fully operational on January 1, 2009, Team Noridian understands we will be liable for the resulting damages, including additional costs associated with extending the incumbent's contract.

Our Quality Management Plan Will Address Monitoring Activities Designed to Prevent Erroneous Payments

■ 3M.1.2 *Erroneous Payments.* The TPA shall ensure that erroneous payments of State or Federal funds are quickly identified, reported to the Department and corrected. If an overpayment, underpayment, or duplicate payment is made, and the payment is the result of either the failure of the TPA to use available information and correct guidelines or failure of the TPA to process payments correctly, the TPA will be liable for the difference between the amount paid and the amount that should have been paid using available information and the correct guidelines or by processing correctly. Erroneous payments for which the TPA is liable shall be withheld from the next TPA monthly payment from the date the error was found. ■

As discussed in Section 4J (Quality Management) of this proposal, Team Noridian will implement a Quality Management Plan that will address timeliness, performance, productivity, and quality monitoring activities. Team

**Actual and
Liquidated
Damages**

Noridian intends to make every effort to proactively prevent the payment of erroneous state or federal funds through this Quality Management Plan, its extensive training programs, and proper oversight of staff.

In the event an incorrect payment of state or federal funds does occur, Team Noridian will promptly report the issue to the Department and correct the error. Team Noridian understands it will be held liable for the difference between the correct payment and the actual amount paid.

Our Strong Internal Controls and Compliance Program Will Help Us Meet or Exceed the Department's Goals

■ *3M.2 - Liquidated Damages. Liquidated damages may be assessed by the Department in instances where the TPA fails to meet critical performance standards for system performance. The Department shall have authority to assess damages for the amount specified below. The Department shall notify the TPA in writing of its intent to assess liquidated damages in each instance. The TPA may appeal the assessment of damages pursuant to the dispute resolution process for damage assessments. Specific performance standards and associated damages are identified throughout Section 3 of this RFP. Once accessed, liquidated damages are not refundable to the TPA contractor.* ■

Strong internal controls and compliance programs play an essential role in Team Noridian's everyday business procedures. Our commitment to quality will be apparent by our allocation of resources necessary to continuously monitor the progress of the *hawk-i* project, making sure its cost, schedule, performance, and quality results meet or exceed the Department's expectations.

Team Noridian understands the Department may assess liquidated damages if its system performance does not meet the standards located throughout Section 4 (Service Requirements) of this Request for Proposal (RFP). We further understand the amount of any deduction is not recoverable.

Conclusion – We Offer an Experienced, Low-Risk Proven Solution to an On-Time Implementation

Team Noridian is committed to meeting the Department's operations date of January 1, 2009. We are confident in making this commitment, based on our past performance in transitioning large-scale operations, many with extremely compressed timeframes. Our proven techniques including our project management methodology, Quality Management Program, internal controls, and compliance program will direct this project and produce the same high-quality and on time results we regularly produce for all of our customers.

**Actual and
Liquidated
Damages**



Experience

5

Experience

Experience

Team Noridian ADVANTAGE

- Both Team Noridian Partners, Noridian and Infocrossing, have experience with different SCHIP programs, including the North Dakota Caring for Children Program and Healthy Steps SCHIP, the State of Wyoming's Kid Care CHIP, and the State of Missouri's MC+ for Kids SCHIP.
- Team Noridian has decades of experience in the healthcare industry along with an enviable history of successful, on-time development, transition, and conversion efforts.
- Team Noridian performs all essential *hawk-i* functions in support of its other types of current business.

■ *Requirement 4.2.7 - Experience. The bidder shall provide the following information regarding its experience:* ■

Noridian Administrative Services, LLC, (Noridian) as the prime contractor on the Healthy and Well Kids in Iowa (*hawk-i*) program, has joined forces with Infocrossing Healthcare Services, Inc. (Infocrossing) as a subcontractor, to provide the Iowa Department of Human Services (Department) an extremely experienced and capable team to implement and administer the *hawk-i* program. As separate entities, Noridian and Infocrossing each are extremely well-qualified to do the work associated with this program. But combined as Team Noridian, the depth and breadth of experience we offer provides the Department with an exceptional partner who is dedicated to the long-term success of *hawk-i*.

Number of Years in Business

■ *Requirement 4.2.7.1 – Number of years in business.* ■

Noridian has been in the government-funded healthcare administration business for more than 41 years. Originally created in 1966 as a division within Blue Cross Blue Shield of North Dakota, which was founded more than 65 years ago in 1942, Noridian began administering Medicare Part A and Part B in North Dakota. Today, Noridian administers multiple lines of business in addition to Medicare Part A and Part B across 19 states, including the State of Iowa.

In addition to Noridian's decades of Medicare administration, Noridian is the contractor for the federal Competitive Acquisition Program for Part B Drugs and Biologicals (Drug CAP), and Noridian is a subcontractor to Fox Systems, Inc., for the National Provider Identifier (NPI) Enumerator program which is operated in offices located across the street from Noridian's headquarters in Fargo, North Dakota. Beginning in 2005, Noridian has held two contracts at the Iowa Medicaid Enterprise (IME), the Medicaid Management Information System (MMIS) Core contract, and the Print/Mail contract. And most recently, Noridian and Fox Systems, Inc. were awarded a federal contract within the Medicaid Integrity Program as an Audit Medicaid Integrity Contractor (Audit MIC).

Noridian's partner in this *hawk-i* endeavor, Infocrossing, is the current Medicaid Fiscal Agent for the State of Missouri, and because of its excellent service and continuing commitment to that State's success, Infocrossing has held the contract since 1988. In the past year, the contract was re-competed with Infocrossing being awarded a new 10 year contract.

The combined experience of Team Noridian in the healthcare business is captured in Figure 1-5 (Team Noridian Healthcare Experience).

Experience

Healthcare Business	Team Noridian Member	Years in Business
Commercial Health Care Payer	Blue Cross Blue Shield of North Dakota (parent company of Noridian)	65 years
Medicare Intermediary / Carrier / Administrative Contractor	Noridian	41 years
Caring For Children Program (pre-State Children's Health Insurance Program (SCHIP))	Noridian	18 years
Healthy Steps (North Dakota SCHIP)	Noridian	8 years
Competitive Acquisition Program for Part B Drugs and Biologicals (Drug CAP)	Noridian	3 years
National Provider Identifier (NPI) Enumerator	Noridian	3 years
Medicaid Integrity Audit Contractor	Noridian	Less than 1 year
Medicaid Fiscal Agent, State of Missouri	Infocrossing	19 years
Technology Outsourcing	Infocrossing	23 years

Figure 1-5. Team Noridian Experience. *The Team Noridian partners, Noridian and Infocrossing, possess decades of healthcare related experience.*

Infocrossing and Noridian are not strangers; they share values of competency, coordination, leadership, and accountability. Over the past 10 years, Infocrossing has provided Noridian with applications, data processing, and transition services, many of which are similar to those required by this Request for Proposal (RFP). Since 1998, Infocrossing has held the data center contract for six of Noridian's Medicare Part B states. In addition to Noridian, Infocrossing's other Medicare clients have included carriers such as Blue Cross Blue Shield of Montana, Cahaba (Blue Cross Blue Shield of Alabama), Blue Cross Blue Shield of Arkansas, and First Coast Service Options (Blue Cross Blue Shield of Florida). Infocrossing has also been a contractor for the Centers for Medicare & Medicaid Services (CMS) since 1987.

All combined, Noridian and Infocrossing have more than 85 years of experience in the plethora of healthcare administrative services including enrolling members and providers, providing customer services and support, and being dedicated to the health and well-being of children.

Years of Experience Providing Services Sought by the RFP

■ Requirement 4.2.7.2 – Number of years experience with providing the types of services sought by the RFP. ■

In 1989, eight years before Title XXI of the Social Security Act (a.k.a., State Children's Health Insurance Program, or SCHIP), was signed by then-President Bill Clinton, Noridian established the North Dakota Caring Foundation, Inc., and its Caring for Children Program. The Caring for Children Program provides health insurance coverage to children of families who earn too much to qualify for government-funded programs, yet not enough to pay for private insurance. This program

Experience

operates solely on charitable donations, and Noridian donates 100 percent of the operating costs, so every single dollar of charitable donations goes to insuring children. Noridian has been committed to insuring and connecting children with quality healthcare for nearly twice as long as the SCHIP program has even existed. Figure 2-5 (*hawk-i* Related Experience) provides a summary of the business that is directly related to the services being sought by the Department.



Noridian’s commitment extends to each of its employees who understand the importance of this program and the goal of insuring children. Noridian has a link to the Caring for Children Program on its Intranet site, many of its staff sponsor a year of healthcare for a child through payroll deductions, and Noridian sponsors “casual days” where in exchange for at least one dollar donated to the Caring for Children Program, an employee can wear casual attire to work.

And in the last month, a contest was held to re-name the monthly Caring for Children Program’s newsletter. All employees were encouraged to submit suggestions and the employee whose suggested name was chosen was awarded a nominal gift certificate.

Services Similar to Those Sought by the RFP	Team Noridian Member	Years of Experience
Caring For Children Program - pre- State Children's Health Insurance program (SCHIP)	Noridian	18 years
Healthy Steps (North Dakota SCHIP)	Noridian	10 years
MC+ for Kids (Missouri SCHIP)	Infocrossing	10 years

Figure 2-5. hawk-i Related Experience. Team Noridian not only possesses general healthcare related experience but also brings experience directly related to the services required by the Department.

Healthy Steps – SCHIP in North Dakota

When the State of North Dakota’s Department of Human Services began preparing for the implementation of its SCHIP, the State approached Noridian to assist in the implementation. The State was well aware of Noridian’s dedication to insuring children in North Dakota through the Caring for Children Program it established in 1989. There were obvious affinities, and by combining forces the State knew the best SCHIP for North Dakotans would be implemented.

Known as “Healthy Steps,” the North Dakota SCHIP is modeled similarly to Iowa’s *hawk-i* program. The State is responsible for determining Medicaid eligibility and then pointing any declined Medicaid applicants to the respective SCHIP. What differs between the two states is what occurs when an applicant is determined ineligible for SCHIP. In North Dakota, the applicant and application is automatically passed to Noridian to determine eligibility and potential enrollment in the Caring for Children Program. In fact, we collaborated with the State of North Dakota in development of a common application form that the State of North Dakota and Noridian both use for eligibility determination and



enrollment activities, and processes related to Medicaid, SCHIP, and the Caring for Children programs.

In or for the State of North Dakota, Noridian has been performing the same functions and providing the same services as sought by this RFP for the past 18 years. Noridian determines eligibility and when appropriate, enrolls applicants into the Caring for Children Program when those applicants are not eligible for Medicaid or SCHIP in the State of North Dakota.

For those children enrolled in Healthy Steps, North Dakota's SCHIP, the State has also entrusted Noridian for the past 10 years with the administration of those enrollees' healthcare benefits. From supplying identification cards, benefit manuals, and surveys, to determining third-party-liability, paying claims, submitting encounter utilization data back to the State, and even sending birthday cards to the enrolled children, we have been integral to the success of North Dakota's SCHIP, Healthy Steps, since its inception.

In addition, we support Wyoming's Kid Care CHIP through services we provide to Blue Cross Blue Shield of Wyoming (BCBSWY), the entity administering Wyoming's Kid Care CHIP. On behalf of BCBSWY, we ensure the claims for enrollees in Kid Care CHIP are accurately and efficiently adjudicated, and that payments are expeditiously made to Wyoming's healthcare providers.

MC+ for Kids – SCHIP in Missouri

The State of Missouri is one of 11 states that chose to expand its Medicaid program to include SCHIP as an extension program. The State of Missouri penned the name "MC+ for Kids" to distinguish its SCHIP. In taking this approach, the State of Missouri integrated MC+ for Kids into the Medicaid eligibility determination process performed by the State. All other support services for MC+ for Kids was also integrated into the State of Missouri's Medicaid program including all of the services and functions provided by their Fiscal Agent, Infocrossing.

Infocrossing, as a result of the State of Missouri's approach to implementing MC+ for Kids, provides all customer service support for the children enrolled in MC+ for Kids. From answering phone and Web inquiries, to maintaining enrolled children's eligibility information and adjudicating claims for the services provided to the children, Infocrossing has been responsible for ensuring the children of Missouri receive the healthcare they need to stay healthy and well educated for approximately 10 years.




Level of Technical Experience Providing Services Sought by the RFP

■ Requirement 4.2.7.3 – Describe the level of technical experience in providing the types of services sought by the RFP. ■

As one of the largest CMS contractors, Noridian provides the CMS with technological advances and innovative solutions, aiding in cost-effective


administration. By coupling extensive incoming mail automation and more than 13 years of experience with Optical Character Recognition (OCR) and document imaging technology, Noridian continues to set high standards for speed, accuracy, and cost effectiveness of healthcare administration processing.



Using Noridian's expertise, the Iowa Medicaid Enterprise is one of the first states (if not the first state) to integrate automated workflow into an entire Medicaid operational environment.

Additionally, Noridian has been the leader in the use of cutting-edge imaging, document management, and workflow technologies throughout their entire Medicare/Medicaid enterprise. Using Noridian's expertise, the Iowa Medicaid Enterprise is one of the first (if not the first state) to integrate automated workflow into an entire Medicaid operational environment. Using Hyland Software's OnBase Electronic Document Management System (EDMS), imaging, document management, and automated workflow systems have virtually eliminated the distribution of paper (e.g., applications, claims and correspondence), in Noridian's organizations. This has drastically improved timeliness, created better internal controls, enabled the ability to provide better customer service, and reduced costs in many operational areas. Noridian is proof that this type of technology coupled with a proven eligibility and financial system, Q/Care, will ensure a successful transition and ongoing operation of the *hawk-i* program.

Noridian is also a leader in the use of Web technologies for the education and training of internal and external customers. The development of portal technologies has increased the consistency and availability of information to all of its stakeholders.



Noridian is establishing the first transactional Web portal allowed; historically the CMS has been unwilling to allow the Web to be used for anything more than informational materials.

In its newest Medicare Administrative Contractor (MAC) contract with the CMS, Noridian is establishing the first transactional Web portal allowed under MAC contracting; historically the CMS has been unwilling to allow the Web to be used for anything more than informational materials or guidance. When the portal Noridian is developing is deployed, Medicare providers will be able to conduct e-business with Medicare just as they have been able to do with Medicaid and commercial payers for many years. If not for Noridian's expertise in this area of technology, the CMS would not have awarded Noridian this optional component of the contract.

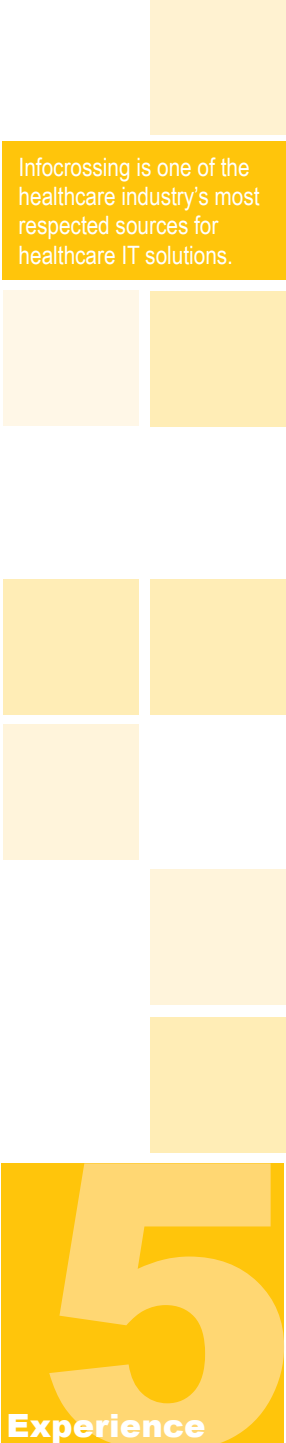
Since the inception of the commercial insurance market, and then the inception of government-funded healthcare, Noridian has invested in technology, innovation, and human resource capital to develop customer-oriented operations to serve the comprehensive range of service needs associated with an ever-growing population and ever-changing complexities in the healthcare industry. It is these exact qualities and experiences that Noridian will capitalize on to successfully administer the *hawk-i* program.

Infocrossing's Q/Care system is currently used for Medicare Part D eligibility enrollment by more than 90 discount drug sponsors, as well as Medicare Part D membership processing by four other customers.

Infocrossing is a full-service, outsourcing vendor supplying healthcare Information Technology (IT) solutions and services, including the Q/Care system and state-of-art data centers. It is one of the healthcare industry's most respected sources for healthcare IT solutions and services



Experience



Infocrossing is one of the healthcare industry's most respected sources for healthcare IT solutions.

in the Medicaid, Medicare, commercial payer, and health plan market and has a proven track record of remarkable performance in its areas of specialization. Infocrossing is also known for managing mainframes, open system servers, networks, and business transaction platforms for many of the country's leading healthcare enterprises. Infocrossing uses a corporate coast-to-coast data center operation and has extensive expertise across numerous computing and e-commerce platforms.

Infocrossing is a premier provider of selective IT and business process outsourcing solutions, offering a full suite of managed and outsourced services including:

- Mainframe, midrange, open systems outsourcing;
- Professional Enterprise Resource Planning services;
- Electronic mail security services;
- Business continuity solutions;
- Business process outsourcing;
- Remote managed services/network management; and
- Infrastructure consulting services.

Infocrossing employs superior technology across all of its IT operations including mainframe; the servers that support e-commerce, Web applications, and electronic mail; and the wide area and local area networks that facilitate the transmission of information across its customers' organizations. Infocrossing supports the processing requirements of both large and mid-sized companies across the country on a broad range of platforms.

Infocrossing's proven software development methodologies and quality processes—which are at Capability Maturity Model (CMM) Level 3—have enabled Infocrossing to meet or exceed system commitments for delivery and operations consistently and with an extremely high level of quality and predictability.

Infocrossing has a history of successful Medicaid, managed care, and Medicare system implementations that date back to the 1980s; during that time Infocrossing has provided its customers with high-quality, timely software maintenance and enhancements. Infocrossing's customer base comprises several long-standing contracts, indicative of the long-term relationships they have enjoyed and strive to maintain with its customers, several of whom have been utilizing Infocrossing's services and solutions for nearly two decades.

The combination of Noridian and Infocrossing—Team Noridian—brings the State of Iowa the implementation, maintenance, and operations expertise of seasoned healthcare technology and services companies. Iowa can rely upon Team Noridian to implement and maintain a sound integrated technology solution to meet the needs of the *hawk-i* program. The State of Iowa can be assured Team Noridian will deliver the powerful Q/Care application and the OnBase EDMS in a secure environment, on-time, and within budget.

Experience

Experience Providing Similar Services

■ Requirement 4.2.7.4 – List all services similar to those sought by this RFP that the bidder has provided to other businesses or governmental entities. ■

Noridian holds a number of healthcare contracts—federal, state, and commercial—and has a variety of experience providing technical and administrative business functions to a broad geographic region and a diverse population. Noridian has extensive Children’s Insurance Program and Medicare experience, as well as experience as the Iowa Medicaid Enterprise Core and Print/Mail contractor. For Noridian, each contract brings a new opportunity to prove its mission and values.

Noridian is currently North Dakota’s largest provider of healthcare coverage. It insures more than 400,000 residents of the state as well as 50,000 individuals residing outside of North Dakota. Each of those members go through application and eligibility determination processes. In addition, every provider and provider group Noridian contracts with goes through an application process. Just as with **hawk-i**, the members and providers go through periodic renewal processes.

Within the government programs arena, Noridian has been a partner of the CMS since 1966. All of the Medicare contracts have required the enrollment of providers and until recently, the support of beneficiary inquiries.

For more than 41 years, Noridian has been unwavering in its support of the goals and objectives of these programs. Noridian has provided the products and services necessary to achieve the CMS objectives of customer service, operational excellence, innovation and technology, and financial management.

Though the terms used above are not the exact terms used in the **hawk-i** RFP, they are exactly what the objectives of the **hawk-i** RFP is, as stated in Section 3 of the RFP:

■ “[t]he primary role of the TPA is to provide customer service, determine eligibility for the **hawk-i** program, and manage the enrollment of eligible children into participating Health and Dental Plans.” ■

Figure 3-5 (Team Noridian Service Categories) outlines the services that Noridian and Infocrossing currently administer for their different lines of business and government-program customers. It is quite evident from the chart below that Team Noridian has substantial experience providing the services sought by this RFP, both similar services and identical services.

Service Categories	Details
Developing and Operating a Financial Accounting System	<ul style="list-style-type: none"> Preparing and providing financial statements Billing and collecting premium payments from enrollees Maintaining and posting to accounts receivables and accounts payables files Bank reconciliation and balancing activities Refund activities and check processing




Service Categories		Details
	Collecting and Processing Applications	<ul style="list-style-type: none"> Controlling correspondence received by mail through document business processes, automated imaging systems, and Electronic Document Management System (EDMS) workflows Developing integrated systems that allow materials from all sources to enter one workflow for identical processing Processing provider and member applications Automatically generating correspondence requests for additional information as needed Maintaining and tracking all documentation associated with the application process through integrated systems Setting aging parameters for automatic follow-up to requests for information Filling out applications over the telephone as needed to assist the enrollee Processing renewals Reporting on application activities
	Determining Eligibility / Enrollment	<ul style="list-style-type: none"> Researching information in the application as it applies to business rules, state, and federal policies to determine if the enrollee is eligible Requesting further information as needed to make the determination Matching the enrollee against other insurance files to determine if he or she is already covered Developing rules for duplicate checking to ensure the enrollee is not already enrolled in the program under another identifier Making the eligibility determination Notifying the enrollee of the determination Disenrollment activities including for non-payment of premiums
	Customer Service Center Operations	<ul style="list-style-type: none"> Developing extensive customer service representative (CSR) oriented training courses Developing written step-by-step instructions for all CSR related processes along with associated checklists Logging of all incoming and outgoing telephone calls Monitoring CSRs on performance, manner, quality, and timeliness Reporting on all telephone center activities including performance measurements Operating call centers that remain at or near the top in the Blue Cross Blue Shield Association's Quality Assurance ratings for customer service Operating pharmacy help desk for Prior Authorization requests
	Successful Transitions and Conversions	<ul style="list-style-type: none"> Experience with more than 22 successful transition / conversion efforts throughout a long history (For a list of the transitions and conversions that Team Noridian has completed through its history, please refer to the Executive Summary). Use of proven, well-documented project management methodologies to manage all implementations Development of all plans associated with transitions including Project Management Plans, Quality Management Plans, Configuration Management Plans, Systems and Data Security Plans, Disaster Recovery Plans, Communications Plans, and Systems Operations Plans Developing and maintaining detailed project schedules Reporting on status and developing corrective actions plans as needed Development of a Systems Development Life Cycle (SDLC) and associated activities Integration of quality management activities into all development activities
	Technology	<ul style="list-style-type: none"> Implemented, operate, and maintain the Internet application supporting real-time registration, claim submission, remittance advice, claim status, eligibility verification, Medicaid manuals and check status for Missouri Medicaid Implemented, operate, and maintain the Internet application used by Iowa Medicaid providers to submit National Provider Identifier (NPI) and re-enrollment information Operate and maintain Drug Rebate System Operate and maintain Drug Prior Authorization system Maintain, operate, and enhance the Iowa MMIS Developed, maintain, operate, and enhance the Missouri Medicaid Management Information System (MMIS)

Figure 3-5. Team Noridian Service Categories. Team Noridian has experience providing all of the types of services required by the Department to support hawk-i.

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- The letters of reference for Team Noridian follow.





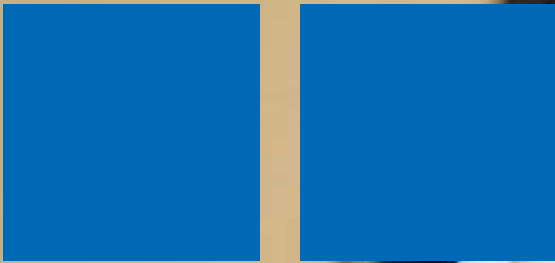
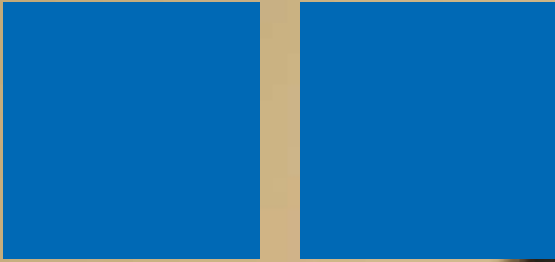
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Personnel

Team Noridian ADVANTAGE

- Team Noridian brings highly qualified, experienced key personnel to this project, including an Implementation Manager and Quality Coordinator, fully dedicated to Transition Phase activities.
- Our subcontractor, Infocrossing Healthcare Systems, Inc. has decades of experience managing large, mission-critical systems along with providing Medicaid Fiscal Agent services including the State of Missouri's MC+ for Kids program.
- Noridian brings years of contract experience similar to the *hawk-i* program including North Dakota State Children's Health Insurance Program and the Caring for Children Program

Team Noridian has selected highly qualified personnel to implement and operate the Healthy and Well Kids in Iowa (*hawk-i*) project. Our Project Manager, Ms. Missy Eilander has more than 20 years of healthcare experience and more than 11 years of experience managing major projects. She is well-prepared to assume these duties. For the past five years Ms. Eilander has managed Noridian's Provider Call Center, Written Inquiry, and Education teams at the Des Moines, Iowa, site.

Mr. Richard Chamberlin, our Systems Manager, can provide the coordination, resource allocation, and clarity needed to implement and manage ongoing systems operations for the *hawk-i* project. He has an impressive technical background, project management experience, and the ability to clearly communicate technical concepts.

Our key personnel will be supported during the implementation by Mr. Ike Drake, the Implementation Manager. Mr. Drake has been involved in numerous government contracting assignments with Noridian over the last 20 years. He recently provided project management support for Noridian during the Iowa Medicaid Enterprise transition. He brings excellent project management, leadership, and communications skills to the project as well as years of development, transition, and conversion experience. A Quality Coordinator will also be assigned to the Transition Phase to ensure Team Noridian meets all of our performance and quality standards.

Noridian Administrative Systems, LLC (Noridian) will be assisted by our subcontractor, Infocrossing Healthcare Systems, Inc. (Infocrossing). Infocrossing will be responsible for supplying components of the Q/Care system and maintaining and enhancing that system. Infocrossing is one of the healthcare industry's most respected sources for healthcare Information Technology (IT) solutions and services in the Medicaid, Medicare, and commercial markets. In addition, Infocrossing has decades of experience in Medicaid administration, it is currently the Fiscal Agent for the State of Missouri where it provides support to all Medicaid members including the children enrolled in the MC+ for Kids SCHIP program. And, as shown below in the "Contracts" subsection, Noridian has played a significant role in the government health care arena including the administration of children's insurance programs for the State of North Dakota.

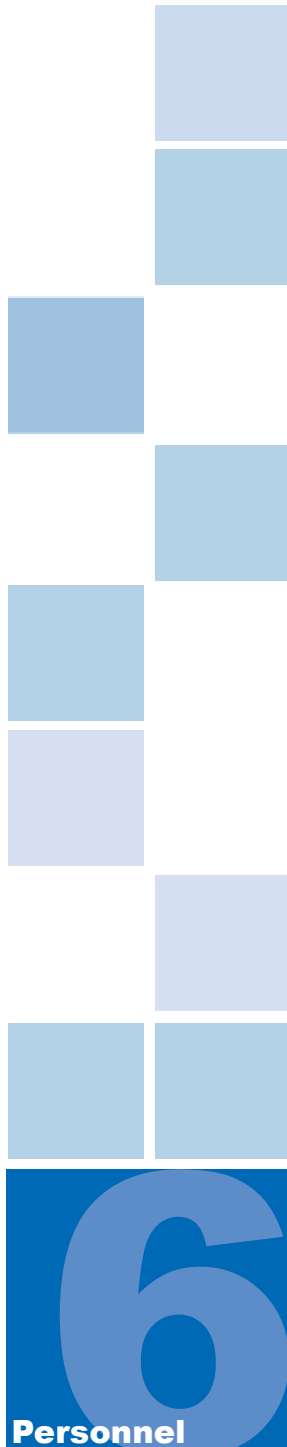
We believe we have assembled a formidable team. Our key personnel, transition team members and subcontractor are dedicated, knowledgeable, and through countless years of involvement in government programs, compassionate to the needs of the Medicaid and Medicare population. All share the belief that no child should be denied proper health care and through participation in the *hawk-i* program, Team Noridian will help the Iowa Department of Human Services (Department) fulfill that mission.

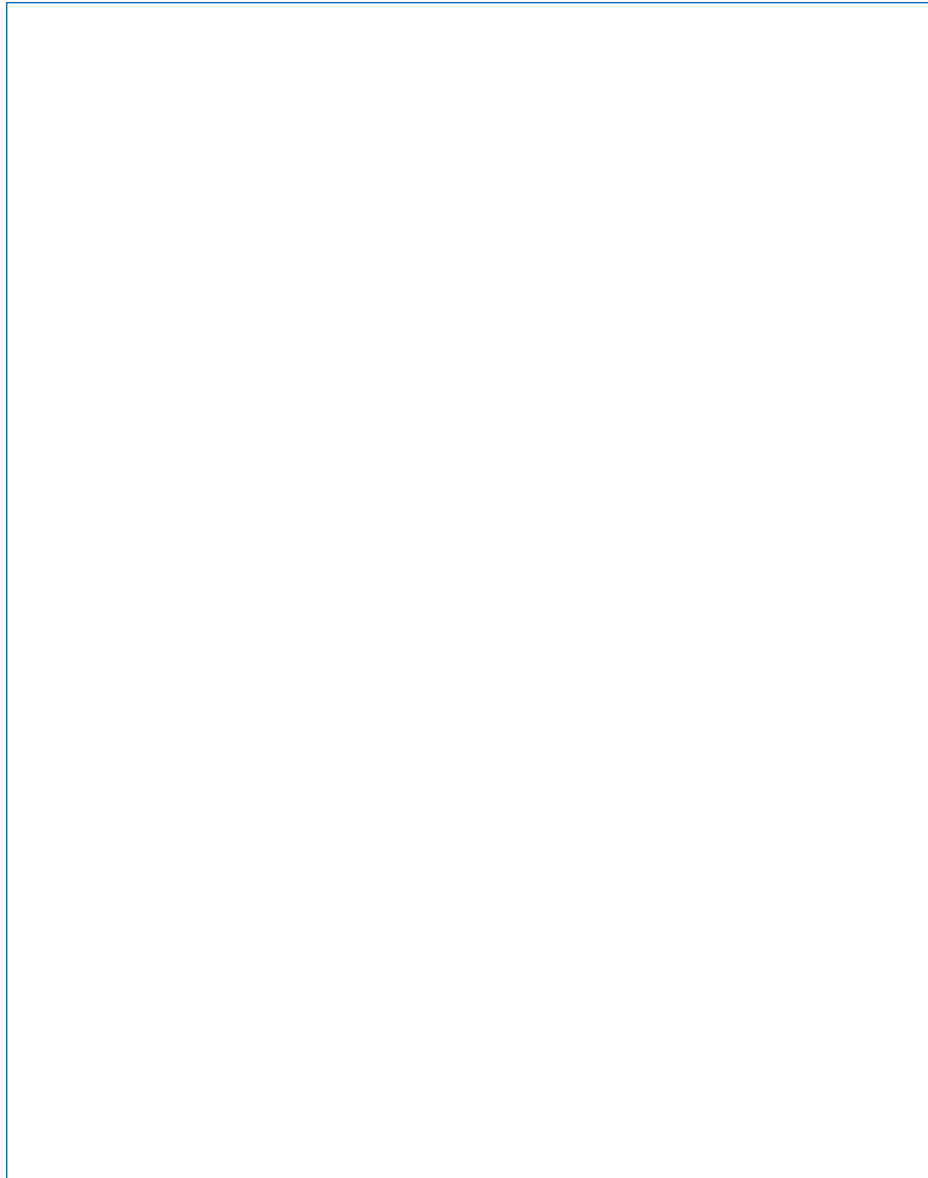
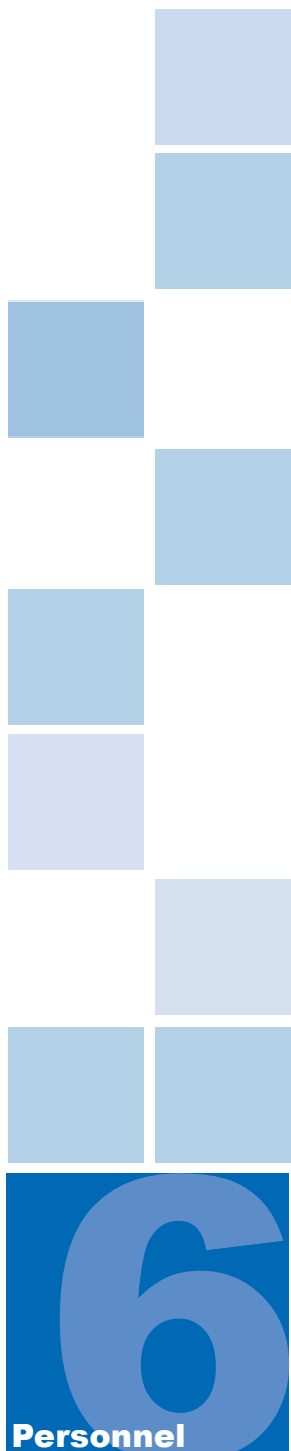
Personnel

Our Organizational Structure Provides Additional Coverage During the Critical Transition Phase

■ Requirement 4.2.8.1 – Provide a table of organization. Illustrate the lines of authority. Include the names and credentials of the owners and executives of your organization and, if applicable, their roles on this project. Also, include key personnel who will be involved in providing implementation and ongoing services contemplated by this RFP. ■

Team Noridian’s table of organization for the *hawk-i* program is shown in Figure 1-6 (Table of Organization).

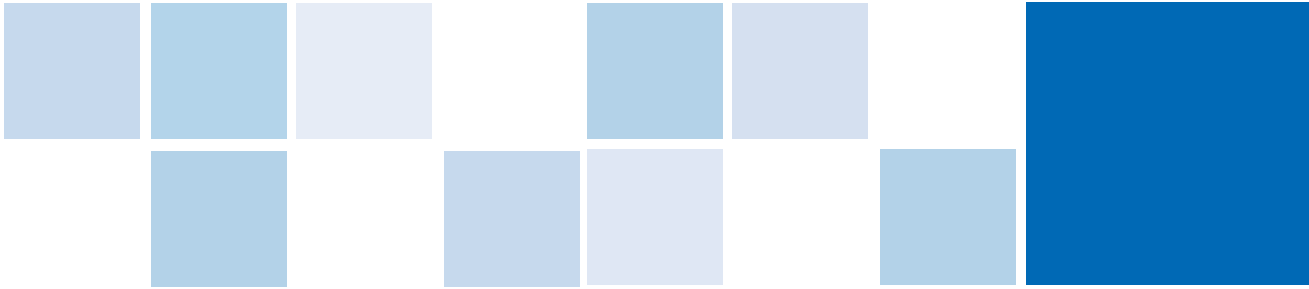




Our Key Personnel Resumes Show Years of Experience in the Healthcare Industry

■ Requirement 4.2.8.2 – Provide resumes for all key personnel, including the project manager, who will be involved in providing the implementation and ongoing services contemplated by this RFP. The resumes must include: name, education, and years of experience and employment history, particularly as it relates to the scope of services specified herein. ■

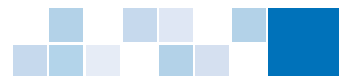
Resumes for our Project Manager and Systems Manager are provided on the following pages.

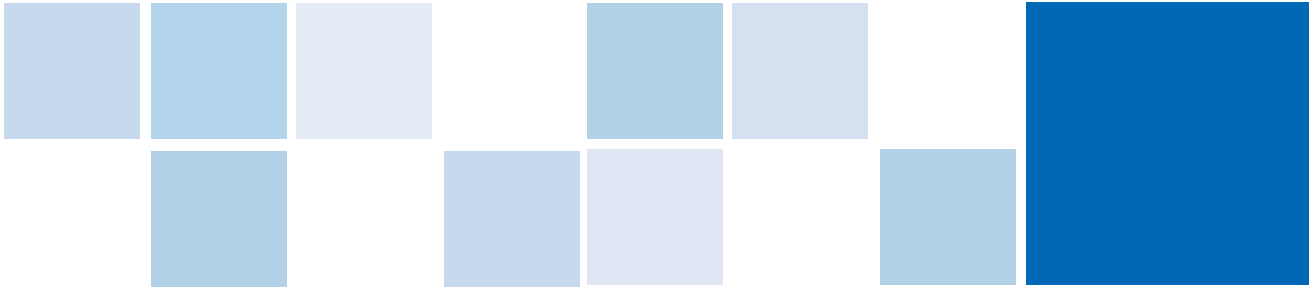


Employment History



Work Experience

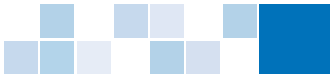




Employment History



Work Experience



Our Subcontractor for the *hawk-i* Program is One of the Most Respected Sources for Healthcare IT Solutions

■ Requirement 4.2.8.3 – Provide the name and qualifications of any subcontractor who will be involved with this project. Describe the work and estimate the percent of total work the subcontractor will be performing. ■

Noridian, the prime contractor on this response to the Department's Request for Proposal (RFP), will subcontract with Infocrossing to provide Information Technology (IT) services for this project. Collectively, Noridian and Infocrossing are Team Noridian

Infocrossing's primary role on this team is to provide the Department with several components of the proposed *hawk-i* IT solution. Infocrossing will enhance and deliver modules of their Q/Care system, including a member (enrollee) system, a premium billing system, financial systems, correspondence system, a Communications Log and advanced reporting capabilities. Infocrossing will host the application at the Infocrossing Data Center in Leonia, New Jersey and provide operations, maintenance, and enhancement services through the Transition and Operations Phases.

Infocrossing and Noridian are not strangers; they share values of competency, coordination, leadership, and accountability. As a matter of fact, the nature of the subcontracting agreement and long-standing relationship between Noridian and Infocrossing is best described as a partnership. Over the past 10 years, Infocrossing has provided Noridian with applications, data processing, and transition services, many of which are similar to those required by this RFP. Since 1998, Infocrossing has held the data center contract for six of Noridian's Medicare Part B states.

Because of this long relationship, Noridian is confident that Infocrossing has the capability and contract experience to add an extensive pool of knowledge to the administration of the *hawk-i* program. Together as Team Noridian, we have the knowledge, expertise, resources, and willingness to maintain our excellent working relationship and the desire to deliver a quality product and superior service to the State of Iowa and all Iowans.

Infocrossing's Qualifications and Similar Experience

As we described in Section 5 (Experience), Infocrossing is a full-service outsourcing vendor supplying healthcare IT solutions and services, including the Q/Care system and state-of-the-art data centers. It is one of the healthcare industry's most respected sources for healthcare IT solutions and services in the Medicaid, Medicare, commercial payer, and health plan market and has a proven track record of remarkable performance in its areas of specialization. Infocrossing is also known for managing mainframes, open system servers, networks, and business transaction platforms for many of the country's leading healthcare enterprises. Headquartered in Tampa, Florida, Infocrossing uses a corporate coast-to-coast data center operation and has extensive expertise across computing and e-commerce platforms.



With decades of experience managing large, mission-critical systems, Infocrossing has a solid position in the IT marketplace. Infocrossing is dedicated to building relationships based on quality services, reliable operations, and business continuity. Infocrossing has been chosen by an enviable list of companies to provide high-quality, reliable IT solutions.

Infocrossing is the current Medicaid Fiscal Agent for the State of Missouri and, because of the excellent service and continuing commitment to that state's success, has held the contract since 1988. As part of their fiscal agent services, Infocrossing also supports the MC+ for Kids SCHIP, which was implemented into Missouri's Medicaid program 10 years ago.

Infocrossing provides all customer service support for the children enrolled in MC+ for Kids. From answering phone and Web inquiries, to maintaining enrolled children's eligibility information and adjudicating claims for the services provided to the children, Infocrossing has continually helped the State to ensure that the children of Missouri receive the healthcare they need to stay healthy and well educated.

Infocrossing provides significant value as an IT partner and its commitment to its clients is unsurpassed. Infocrossing's proven software development methodologies and quality processes—which are at Capability Maturity Model (CMM) Level 3—have enabled Infocrossing to meet or exceed system commitments for delivery and operation consistently with a high level of quality and predictability.

Infocrossing brings Team Noridian, and the State of Iowa, the implementation and maintenance expertise of a seasoned healthcare technology and services company. Iowans can rely upon Team Noridian to implement and maintain a sound solution to meet the needs of the *hawk-i* program.



Infocrossing's proven software development methodologies and quality processes—which are at Capability Maturity Model (CMM) Level 3—have enabled Infocrossing to meet or exceed system commitments for delivery and operation consistently with a high level of quality and predictability.

Infocrossing's Work on the *hawk-i* Program

Infocrossing will be providing technical and system operational support for application and enrollment processing, premium billing and payment processing, interconnectivity, the Decision Support System, and ad hoc reporting. This work effort represents approximately 35 percent of the total contract.

At the start of the Transition Phase, an Infocrossing Business Analyst will be assigned to the project to coordinate all the activities needed for the Q/Care system which includes development, testing, and documenting. This Business Analyst will have a pool of resources including system analysts, computer operators, and programmers to ensure the system is configured, tested and ready for production. The Business Analyst will not be located onsite in Des Moines, but will make periodic visits as needed or upon the Department's request. This individual along with the pool of resources will be also be available throughout the Operations Phase.

Specifically, Infocrossing will provide the following Q/Care functionality in support of the *hawk-i* program:

- Member
- Financial
- Premium Billing
- System Interfaces
- Correspondence
- Communications Log



Noridian is Responsible for Numerous Healthcare Related Contracts

■ Requirement 4.2.8.4 – Describe other contracts and projects currently undertaken by the bidder. ■

Noridian has proven, repeated, successful implementation experience and the knowledge, expertise, and resources to deliver a quality product for the *hawk-i* program. Current contracts and projects, which contribute to Noridian's experience, are described below.

Noridian currently holds numerous healthcare contracts including:

- North Dakota State Children's Health Insurance Program, Healthy Steps
- Caring for Children Program
- Iowa Medicaid Enterprise – Core Medicaid Management Information System (MMIS) Component
- Iowa Medicaid Enterprise – Print / Mail Component
- Children's Hospital Graduate Medical Education
- National Provider Identifier

In addition to these contracts, Noridian also holds the following Medicare contracts.

- Jurisdiction 3 Part A and Part B Medicare Administrative Contractor
- Jurisdiction D Durable Medical Equipment Medicare Administrative Contractor
- Competitive Acquisition Program (CAP) for Part B Drugs and Biologicals
- Medicare Part B Carrier
- Medicare Part A Intermediary – Washington and Alaska
- Medicare Part A Intermediary – Minnesota, Oregon and Idaho

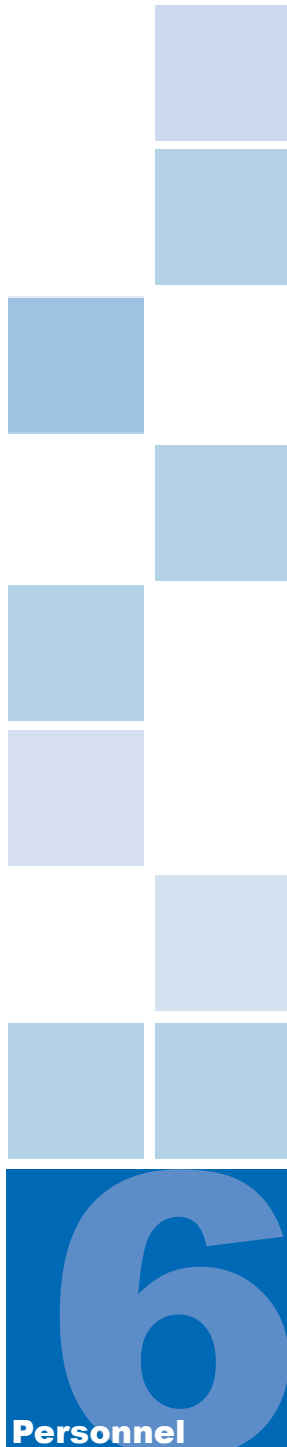
Each contract and project is described in detail in the following pages.

North Dakota State Children's Health Insurance Program

In 1998, the State of North Dakota's Department of Human Services approached Noridian to assist in the implementation of the State Children's Health Insurance Program (SCHIP) in North Dakota. The State of North Dakota approached Noridian as Noridian's dedication to insuring children in North Dakota was well known through our development of the Caring for Children Program (described below). Known as "Healthy Steps", the North Dakota SCHIP is modeled similarly to Iowa's *hawk-i* program.

Caring for Children Program

Noridian donates administrative services for the Caring for Children program, which began in 1989. Some of the services provided include processing applications and determining eligibility; enrolling eligible children in the Caring for Children program; generating letters informing families of the enrollment determination; providing customer service



support via call center; and processing and paying claims—payment is made via funds the Caring for Children Program receives through donations from the generosity of foundations, churches, individuals, businesses and civic organizations.

Iowa Medicaid Enterprise (IME) Contracts

The Iowa Department of Human Services awarded nine different vendors to accomplish the fiscal agent responsibilities for Iowa Medicaid. Noridian received the awards for the Core MMIS Component and the Print / Mail Component.

Core MMIS Component Contract. The Core Unit contract, which began in 2004, involved the operational takeover of the existing MMIS, including enhancements, maintenance, integration, and continued operations management. Some of the services performed include managing incoming mail and other mail room operations; implementing an imaging system; completing optical character recognition of claims and correspondence; implementing an electronic workflow process management system; Electronic Data Interchange (EDI) activities; claims processing; multi-year, multi-vendor data processing system development/takeover projects; multi-tiered system architectures, communications and complex data processing, systems enhancements and modifications; relational database, client/server platforms, and portals; work with claims payment and decision support system; and continuing with ongoing operational responsibilities. Details for this contract are provided in Figure 2-6 (IME Core MMIS Contract).

Contract	Contract Number	Contract Type	Period of Performance
Iowa Medicaid Enterprise-Core Medicaid Management Information System (MMIS)	MED-04-015-A	Fixed Price	July 1, 2004 – June 30, 2013 (with additional optional year)
Name	Address	Telephone	E-mail

Figure 2-6. IME Core MMIS Contract. Noridian serves as the Core vendor on this Medicaid contract for the State of Iowa.

IME Print / Mail Component Contract. The second Medicaid contract awarded to Noridian was the optional contract for print and mail services for claims payment services. Noridian provides Medicaid claims payment support services to support the IME payment cycle. Specifically, Noridian prints, stuffs, and mails all checks and remittance advices for Medicaid providers during each payment cycle. Details for this contract are provided in Figure 3-6 (IME Print / Mail Component Contract).

Contract	Contract Number	Contract Type	Period of Performance
Iowa Medicaid Enterprise-Print/mail Component	MED-04-085	Fixed Price	March 2004 – June 2010 (with additional optional years)



Name	Address	Telephone	E-mail

Figure 3-6. IME Print / Mail Component Contract. *Noridian is responsible for the printing and mailing of all checks and remittance advice for each MMIS payment cycle.*

Children's Hospital Graduate Medical Education

This is a five-year subcontract initially awarded by Blue Cross Blue Shield Association (BCBSA) to Noridian in the summer of 2002. As the prime contractor with the Centers for Medicare & Medicaid Services (CMS), BCBSA subcontracts with five other Fiscal Intermediaries / Medicare Administrative Contractors to perform this specialized desk review and audit work. The contract consists of conducting desk reviews and occasionally field audits to verify the intern and resident count for children's hospitals across the country. The intern and resident count is used to determine graduate medical education payments under a contract with the Health Services Research Administration (HRSA). The audit staff, located in Fargo, North Dakota and Eagan, Minnesota, performs desk reviews on three Minnesota children's hospitals and three children's hospitals located in New York, Delaware and Connecticut. This work has tight time deadlines. The work commences in September/October and is completed in February/March. BCBSA and HRSA have provided the subcontractors with detailed review methodologies and tracking mechanisms. Noridian's performance for this subcontract has been viewed as exceptional, so much so that BCBSA renewed the subcontract for an additional five-year term. Details on this contract are included in Figure 4-6 (CHGME Contract).

Contract	Contract Number	Contract Type	Period of Performance
Children's Hospital Graduate Medical Education	HHS8230200732003C	N/A	October 10, 2002 - September 30, 2012
Name	Address	Telephone	E-mail

Figure 4-6. CHGME Contract. *The BCBSA has viewed Noridian's work as exceptional on this contract.*

National Provider Identifier. In February 2005, the CMS announced that Fox Systems, Inc. (FOX) was awarded the National Provider Identifier (NPI) Enumerator contract. Noridian is a subcontractor for this NPI Enumerator contract under FOX. Some of the functions Noridian provides include processing NPI applications, providing telephone support



to assist the national provider community with NPI enumeration-related inquiries, and providing technical support and quality assurance services. More detailed information on the NPI Enumerator contract is provided in Figure 5-6 (NPI Enumerator Contract).

Contract	Contract Number	Contract Type	Period of Performance
NPI Enumerator Contract	HHSM-500-2005-D00007C	Cost Plus Award Fee	February, 2005 to February, 2010
Name	Address	Telephone	E-mail

Figure 5-6. NPI Enumerator Contract. Noridian serves as a subcontractor to FOX on this project and provides support in processing NPI applications along with technical and quality assurance services.

Medicare Contracts

Jurisdiction 3 Part A and Part B Medicare Administrative Contractor.

Most recently, the CMS awarded Noridian the contract to process Medicare Part A and Part B claims for the Jurisdiction 3 Part A and Part B Medicare Administrative Contractor (J3 MAC). Responsibilities include all aspects of claim processing, such as mail room and scanning activities for processing Medicare paperwork, optical character recognition activities for converting paper claims to electronic claims, front-end and back-end EDI activities, claims adjudication, pre-pay medical review, provider enrollment activities, customer service support, education and training, appeals processing, and provider audit activities. More detailed information on this contract is provided in Figure 6-6 (Jurisdiction 3 Medicare Administrative Contractor Contract).

Contract	Contract Number	Contract Type	Period of Performance
Jurisdiction 3 MAC; Six states	HHSM-500-2006M0005Z	Cost Plus Award Fee	2006 to 2011 (if options exercised)
Name	Address	Telephone	E-mail

Figure 6-6. Jurisdiction 3 Medicare Administrative Contractor Contract. Noridian performs all functions related to Medicare Part A and Part B claims processing for six states under this contract.



Jurisdiction D Durable Medical Equipment Medicare Administrative

Contractor. As the Durable Medical Equipment Medicare Administrative Contractor (DME MAC) for Jurisdiction D, Noridian handles all aspects of claims processing for durable medical equipment, prosthetics, orthotics, and supplies for multiple states. The claims processing functions include mail room activities for processing Medicare claims related documents, scanning activities for converting Medicare paperwork to an electronic format, optical character recognition activities for converting paper claims to electronic data, front-end and back-end EDI activities, claim review, and customer service support. More detailed information on Noridian's DME MAC contract is provided in Figure 7-6 (DME Medicare Administrative Contractor Contract).

Contract	Contract Number	Contract Type	Period of Performance
DME MAC Jurisdiction D; 17 states	HHSM- 500-2006-M0004Z	Cost Plus Award Fee	2006 to 2011 (if options exercised)
Name	Address	Telephone	E-mail

Figure 7-6. DME Medicare Administrative Contractor Contract. Noridian is responsible for all functions related to DME claims processing for 17 states under this contract.

Competitive Acquisition Program for Medicare Part B Drugs and

Biologicals. The Competitive Acquisition Program (CAP) for Part B Drugs and Biologicals gives physicians an option to acquire drugs from vendors selected in a competitive bidding process. Noridian serves as the only designated carrier in the nation to hold this contract. Samples of some of the functions Noridian provides include enrolling physicians in the Drugs and Biologicals program; modifying and enhancing multi-tiered system architectures, communications, and complex data processing systems; maintaining relational database, client / server platforms, and portals; performing ongoing operational responsibilities (including fiscal agent services); and performing customer service activities. More contract information can be found in Figure 8-6 (CAP for Part B Drugs and Biologicals Contract).

Contract	Contract Number	Contract Type	Period of Performance
CAP for Medicare Part B Drugs and Biologicals	HCFA-87-023-2	Cost	June, 2005 to June, 2008



Name	Address	Telephone	E-mail

Figure 8-6. CAP for Part B Drugs and Biologicals Contract. Noridian serves as the only designated carrier in the nation to hold this contract.

Medicare Part A Fiscal Intermediary. As a Medicare Part A Fiscal Intermediary, Noridian performs all functions that are related to Medicare Part A claims processing. This includes mail room activities for processing Medicare paperwork, scanning activities for converting Medicare paperwork to an electronic format, optical character recognition activities for converting paper claims to electronic claims, front-end and back-end Electronic Data Interchange activities, claim review, and customer service support. More detailed information on the Medicare Part A contracts is provided in Figure 9-6 (Medicare Part A Intermediary Contract – Washington and Alaska) and 10-6 (Medicare Part A Intermediary Contract – Minnesota, Oregon, and Idaho).

Contract	Contract Number	Contract Type	Period of Performance
Medicare Part A Intermediary for WA and AK	CMS 04-001-01	Cost	2004 to Present
Name	Address	Telephone	E-mail

Figure 9-6. Medicare Part A Intermediary Contract – Washington and Alaska. Noridian performs all claim processing related functions on this contract.

Contract	Contract Number	Contract Type	Period of Performance
Medicare Part A Intermediary for MN, OR, and ID.	HCFA 87-001-1.44	Cost	1966 to Present
Name	Address	Telephone	E-mail

Figure 10-6. Medicare Part A Intermediary Contract – Minnesota, Oregon, and Idaho. Noridian performs all claims processing related functions including EDI, customer service, mailroom activities, and reporting.



Medicare Part B Carrier. Noridian performs all aspects of claims processing as the Medicare Part B Carrier for seven states. This includes mail room activities, imaging and optical character recognition activities, front-end and back-end EDI activities, claims review, and customer service support. More detailed information on Noridian’s Medicare Part B contract is provided in Figure 11-6 (Medicare Part B Carrier Contract).

Contract	Contract Number	Contract Type	Period of Performance
Medicare Part B Carrier for Seven States	HCFA 87-023-2	Cost	1966 to Present
Name	Address	Telephone	E-mail

Figure 11-6. Medicare Part B Carrier Contract. Noridian is responsible for administering the Medicare Part B program for these seven states.

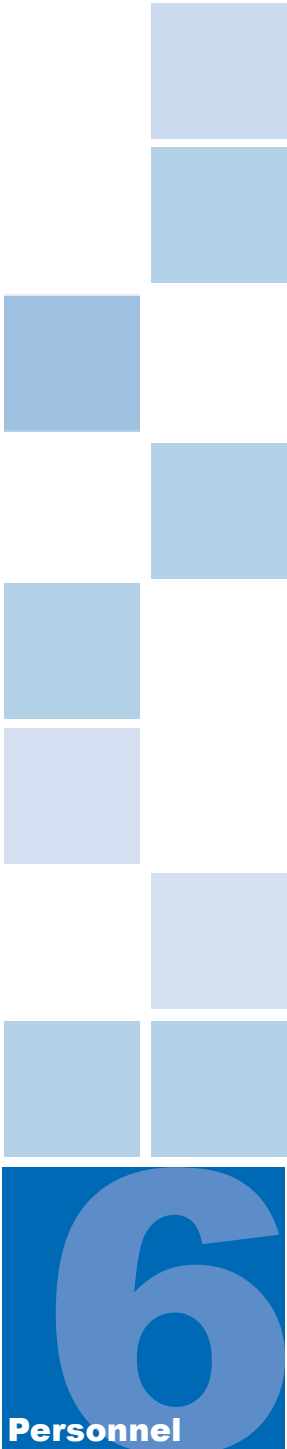
Conclusion - Our Team is Qualified and Ready for This Work

Team Noridian has assembled a highly-qualified team of experienced, dedicated staff to implement and operate the *hawk-i* program. We are confident in their abilities.

Noridian is also confident in the abilities of Infocrossing to implement an exceptional system to support this program. Infocrossing’s proven software development methodologies and quality processes—which are at CMM Level 3—have enabled Infocrossing to meet or exceed system commitments for delivery and operation consistently with a high level of quality and predictability.

Together as Team Noridian, both Infocrossing and Noridian have years of experience in implementing and operating programs similar to the *hawk-i* project. Along with our knowledge of large-scale healthcare systems, Team Noridian has specifically been involved in children’s insurance programs including the MC+ for Kids SCHIP for the State of Missouri, the Healthy Steps SCHIP for the State of North Dakota, and the Caring for Children Program.

Our combination of excellent staff, a superior teaming partner, along with our own IT and healthcare related expertise will provide the Department with its own winning combination, Team Noridian.





**Financial
Information**

Financial Information

■ *Requirement 4.2.9 – Financial Information. The bidder must provide the following financial information:* ■

Financial Statements

■ *Requirement 4.2.9.1 – Submit audited financial statements (annual reports) for the last three (3) years.* ■

Noridian Administrative Services, LLC (Noridian) submits its three most recent audited financial statements directly following this page. The statements include the following:

- December 31, 2005 and 2006 – Financial Statements and Management Letter
- December 31, 2004 and 2005 – Financial Statements and Management Letter
- December 31, 2003 and 2004 – Financial Statements and Management Letter

Financial References

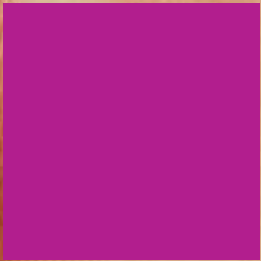
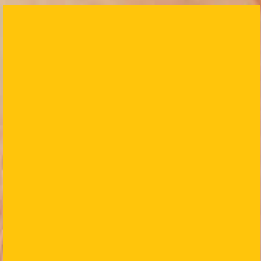
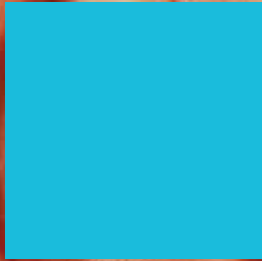
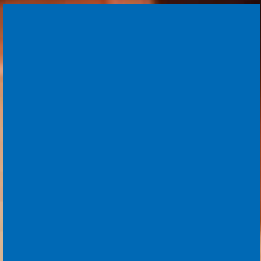
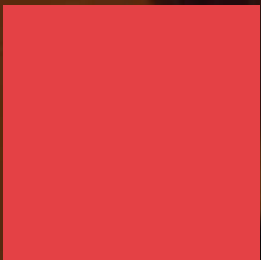
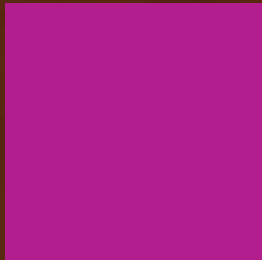
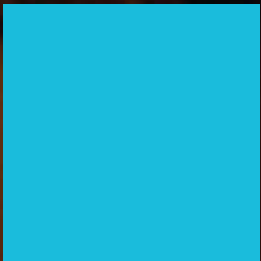
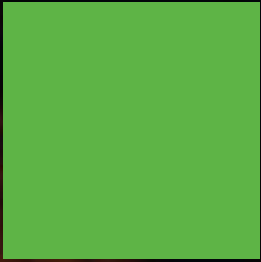
■ *Requirement 4.2.9.2 – Provide a minimum of three (3) financial references.* ■

Noridian provides its three financial references from the following businesses:

Alerus Financial

Bank of the West

Wells Fargo





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8

**Authorizations
and
Certifications**

**Authorizations and
Certifications**

Authorizations and Certifications

Termination, Litigation, and Investigation

■ Requirement 4.2.10 – Termination, Litigation, and Investigation. The bidder must provide the following information:

4.2.10.1 During the last five (5) years, has the bidder had a contract for services terminated for any reason or has any such contract been subject to any form of default notice or threat of termination. If so, provide full details related to the termination, notice of default, or threat of termination.

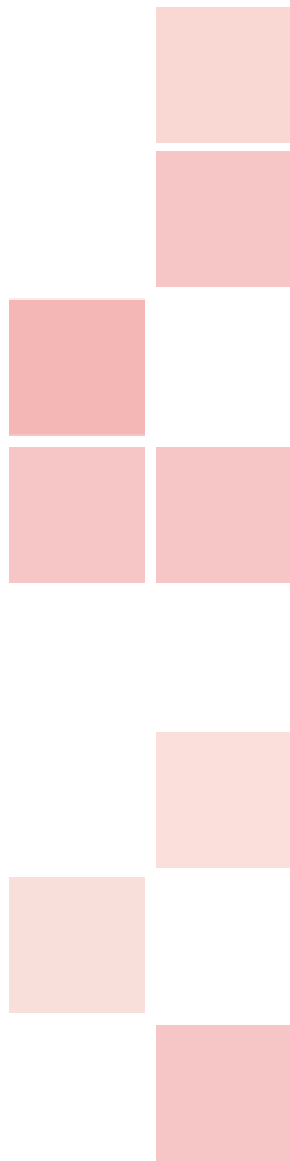
4.2.10.2 During the last five (5) years, describe any damages or penalties or anything of value traded or given up by the bidder under any of its existing or past contracts as it relates to services performed that are similar to the services contemplated by this RFP and the resulting Contract. If so, indicate the reason and the estimated cost of that incident to the bidder.

4.2.10.3 During the last five (5) years list and summarize pending or threatened litigation, administrative or regulatory proceedings, or similar matters that relate to services similar to those contemplated by this RFP. In addition, the bidder shall identify any such actions or proceedings that could affect the ability of the bidder to perform the required services. The bidder must also state whether it or any owners, officers, or primary partners have ever been convicted of a felony. Failure to disclose these matters may result in rejection of the bid proposal or in termination of any subsequent contract. This is a continuing disclosure requirement. Any such matter commencing after submission of a bid proposal, and with respect to the successful bidder after the execution of a contract must be disclosed in a timely manner in a written statement to the Department.

4.2.10.4 During the last five (5) years, have any irregularities been discovered in any of the accounts maintained by the bidder on behalf of others? If so, describe the circumstances of irregularities or variances and disposition of resolving the irregularities or variances. ■

Noridian Administrative Services, LLC (Noridian) provides responses to each Request for Proposal (RFP) requirement for this section in the table that directly follows.

Termination, Litigation, and Investigation Responses	
Requirement	Response
4.2.10.1 – During the last five (5) years, has the bidder had a contract for services terminated for any reason? If so, provide full details related to the termination.	No
4.2.10.2 – During the last five (5) years, describe any damages or penalties or anything of value traded or given up by the bidder under any of its existing or past contracts as it relates to services performed that are similar to the services contemplated by this RFP and the resulting Contract. If so, indicate the reason and the estimated cost of that incident to the bidder.	Noridian has no damages, penalties, or anything of value it has given up under any of its existing or past contracts as it relates to services performed.



Termination, Litigation, and Investigation Responses	
Requirement	Response
4.2.10.3 – During the last five (5) years list and summarize pending or threatened litigation, administrative or regulatory proceedings, or similar matters that could affect the ability of the bidder to perform the required services. The bidder must also state whether it or any owners, officers, or primary partners have ever been convicted of a felony. Failure to disclose these matters may result in rejection of the bid proposal or in termination of any subsequent contract. This is a continuing disclosure requirement. Any such matter commencing after submission of a bid proposal, and with respect to the successful bidder after the execution of a contract must be disclosed in a timely manner in a written statement to the Department.	Noridian has no pending or threatened litigation. Further, Noridian has no owners, officers, or primary partners that have ever been convicted of a felony.
4.2.10.4 – During the last five (5) years, have any irregularities been discovered in any of the accounts maintained by the bidder on behalf of others? If so, describe the circumstances of irregularities or variances and disposition of resolving the irregularities or variances.	No

Figure 1-8. Noridian’s Termination, Litigation, and Investigation Responses.

Acceptance of Terms and Conditions

■ **Requirement 4.2.11 – Acceptance of Terms and Conditions.** *The bidder shall specifically stipulate that the bid proposal is predicated upon the acceptance of all terms and conditions stated in the RFP. If the bidder objects to any term or condition, specific reference to the RFP page and section number must be made. Objections or responses that materially alter the RFP shall be deemed non-responsive and disqualify the bidder. All changes to proposed contract language, include deletions, additions, and substitutions of language, must be addressed in the bid proposal in compliance with Section 6.1 of the RFP.* ■

Noridian acknowledges this bid proposal is established upon the acceptance of all terms and conditions stated in the RFP, including all amendments to the RFP.

Proposal Certification

■ **Requirement 4.2.12 – Proposal Certification.** *The bidder shall sign and submit with the bid proposal the document included as Attachment 7 in which the bidder shall certify that the contents of the bid proposal are true and accurate.* ■

The Proposal Certification, as amended in Amendment One, has been signed and submitted directly following this page.

Proposal Certification

I certify that I have the authority to bind the bidder indicated below to the specific terms, conditions, and technical specifications required in the Department's Request for Proposal (RFP) and offered in the bidder's proposal. I understand that by submitting this Bid Proposal, the bidder indicated below agrees to provide administrative services for the Healthy and Well Kids in Iowa (*hawk-i*) Program which meet or exceed the requirements of the Department's RFP unless noted in the Bid Proposal and at the prices quoted by the bidder.

I certify that the contents of the Bid Proposal are true and accurate and that the bidder has not made any knowingly false statements in the Bid Proposal.



Name

1/31/08

Date

Executive Vice President and Chief Operating Officer

Title

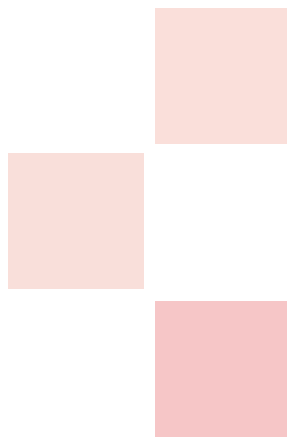
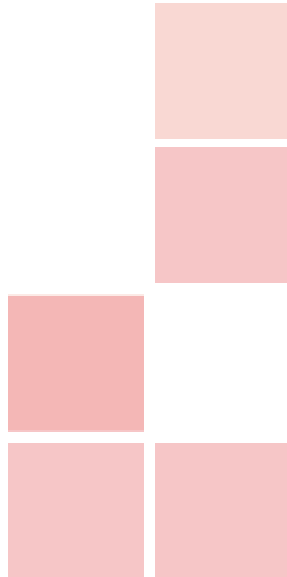
Noridian Administrative Services, LLC

Name of Bidder Organization

Certification of Independence and No Conflict of Interest

■ *Requirement 4.2.13 – Certification of Independence and No Conflict of Interest. The bidder shall sign and submit with the bid proposal the document included as Attachment 8 on which the bidder shall certify that the bid proposal was developed independently. The bidder shall also certify that no relationship exists or will exist during the contract period between the bidder and the Department that interferes with fair competition or is a conflict of interest. The Department reserves the right to reject a bid proposal or cancel the Notice of Intent to Enter into Contract Negotiations if, in its sole discretion, any relationship exists that could interfere with fair competition or conflict with the interests of the Department.* ■

The Certification of Independence and No Conflict of Interest has been signed and submitted directly following this page.



Certification of Independence and No Conflict of Interest

By submission of a bid proposal, the bidder certifies (and in the case of a joint proposal, each party thereto certifies) that:

- the bid proposal has been developed independently, without consultation, communication or agreement with any employee or consultant of the Department who has worked on the development of this RFP, or with any person serving as a member of the evaluation committee;
- the bid proposal has been developed independently, without consultation, communication or agreement with any other bidder or parties for the purpose of restricting competition;
- unless otherwise required by law, the information in the bid proposal has not been knowingly disclosed by the bidder and will not knowingly be disclosed prior to the award of the Contract, directly or indirectly, to any other bidder;
- no attempt has been made or will be made by the bidder to induce any other bidder to submit or not to submit a bid proposal for the purpose of restricting competition;
- no relationship exists or will exist during the Contract period between the bidder and the Department that interferes with fair competition or is a conflict of interest.



Name

1/31/08

Date

Executive Vice President and Chief Operating Officer

Title

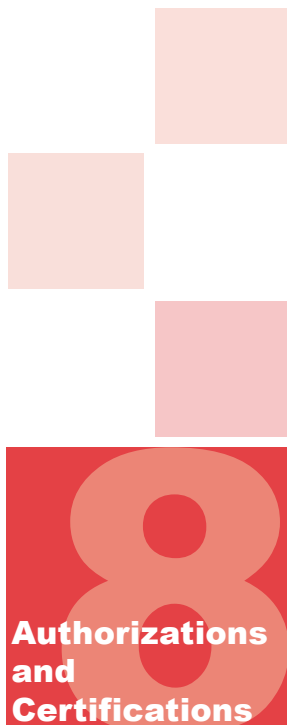
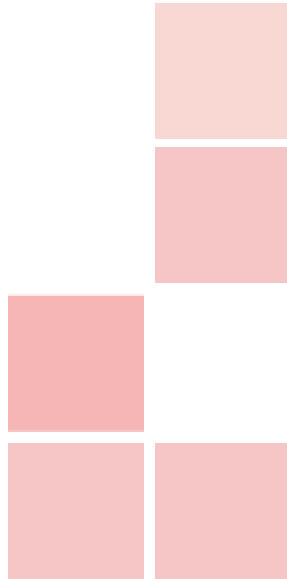
Noridian Administrative Services, LLC

Name of Bidder Organization

Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier Covered Transactions

■ *Requirement 4.2.14 – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions. The bidder shall sign and submit with the bid proposal the document included as Attachment 9 on which the bidder shall certify that it is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal, department or agency.* ■

The Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions has been signed and submitted directly following this page.




Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion – Lower Tier Covered Transactions

By signing and submitting this Proposal, the bidder is providing the certification set out below:

1. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the bidder knowingly rendered an erroneous certification, in addition to other remedies available to the federal government the Department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
2. The bidder shall provide immediate written notice to the person to whom this Proposal is submitted if at any time the bidder learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
3. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principle, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this Proposal is submitted for assistance in obtaining a copy of those regulations.
4. The bidder agrees by submitting this Proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Department or agency with which this transaction originated.
5. The bidder further agrees by submitting this Proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
6. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. A participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
7. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
8. Except for transactions authorized under paragraph 4 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the Department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and / or Voluntary Exclusion – Lower Tier Covered Transactions

- (1) The bidder certifies, by submission of this Proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (2) Where the bidder is unable to certify to any of the statements in this certification, such bidder shall attach an explanation to this Proposal.



Signature

1/31/08

Date

Executive Vice President and Chief Operating Officer

Title

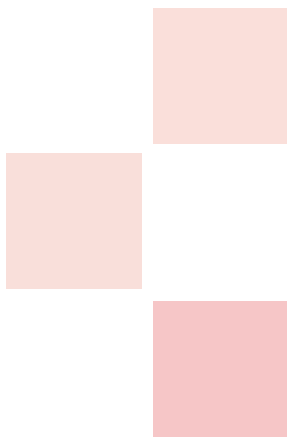
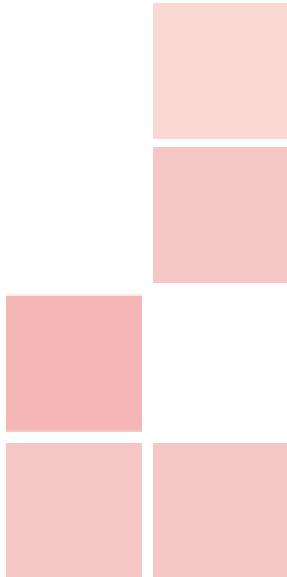
Noridian Administrative Services, LLC

Company Name

Certification Regarding Registration, Collection, and Remission of State Sales and Use Tax

■ *Requirement 4.2.15 - Certification Regarding Registration, Collection and Remission of State Sales and Use Tax. The bidder shall sign and submit with the bid proposal the document included as Attachment 10.* ■

The Certification Regarding Registration, Collection, and Remission of State Sales and Use Tax has been signed and submitted directly following this page.



Certification Regarding Registration, Collection, and Remission of State Sales and Use Tax

February 6, 2008

Jon Neiderbach, Issuing Officer
Division of Financial, Health and Work Supports
Hoover State Office Building
1305 E. Walnut, 5th Floor
Des Moines, IA 50319-0114

Re: Request for Proposal Number FHWS-08-17; Certification Regarding Registration, Collection, and Remission of State Sales and Use Tax

Dear Mr. Neiderbach:

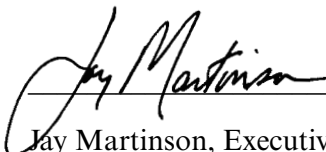
Pursuant to 2005 Iowa Acts SF 413 – which creates new Iowa Code subsections 423.2(9A) & 423.5(8) – a retailer in Iowa or a retailer maintaining a business in Iowa that enters into a contract with a state agency must register, collect, and remit Iowa sales tax and Iowa use tax levied under Iowa Code chapter 423 on all sales of tangible personal property and enumerated services. The Act also requires vendors to certify their compliance with sales tax registration, collection, and remission requirements and provides potential consequences if the certification is false or fraudulent.

By submitting a proposal in response to the Iowa Department of Human Services' (Department) Request for Proposal Number FHWS-08-17 for providing administrative services for the Healthy and Well Kids in Iowa (*hawk-i*) program, the undersigned certifies the following: (check the applicable box)

- ☐ Noridian Administrative Services, LLC is registered with the Iowa Department of Revenue, collects, and remits Iowa sales and use taxes as required by Iowa Code chapter 432; or
- ☒ Noridian Administrative Services, LLC is not a “retailer” or a “retailer maintaining a place of business in this state” as those terms are defined in Iowa Code subsections 423.1(42) & (43).

Noridian Administrative Services, LLC also acknowledges that the Department may declare Noridian Administrative Services', LLC bid or resulting contract void if the above certification is false. Noridian Administrative Services, LLC also understands that fraudulent certification may result in the Department or its representative filing for damages for breach of Contract.

Sincerely,

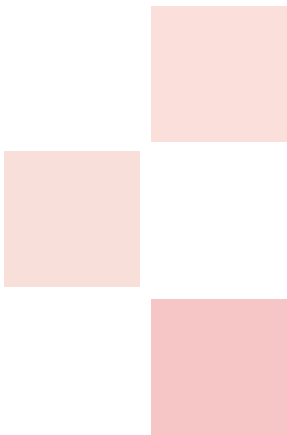
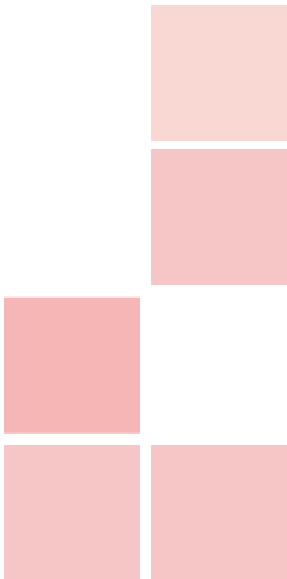


Jay Martinson, Executive Vice President and Chief Operating Officer

Authorization to Release Information

■ Requirement 4.2.16 – Authorization to Release Information. The bidder shall sign and submit with the bid proposal the document included as Attachment 11 on which the bidder authorizes the release of information to the Department. ■

The Authorization to Release Information has been signed and submitted directly following this page.



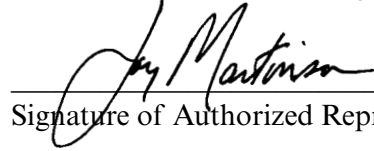
Authorization to Release Information

Noridian Administrative Services, LLC hereby authorizes any person or entity, public or private, having any information concerning the bidder's background, including but not limited to its performance history regarding its prior rendering of services similar to those detailed in this RFP, to release such information to the Department.

The bidder acknowledges that it may not agree with the information and opinions given by such person or entity in response to a reference request. The bidder acknowledges that the information and opinions given by such person or entity may hurt its chances to receive contract awards from the Department or may otherwise hurt its reputation or operations. The bidder is willing to take that risk. The bidder agrees to release all persons, entities, the Department, and the State of Iowa from any liability whatsoever that may be incurred in releasing this information or using this information.

Noridian Administrative Services, LLC

Printed Name of Bidder Organization



Signature of Authorized Representative

1/31/08

Date

Firm Bid Proposal Terms

■ *Requirement 4.2.17 – Firm Bid Proposal Terms. The bidder shall guarantee in writing the availability of the services offered and that all bid proposal terms, including price, will remain firm a minimum of one hundred twenty (120) days following the deadline for submitting proposals.* ■

Noridian guarantees the services offered and that all bid proposal terms, including price, will remain firm a minimum of 120 days following the deadline for submitting proposals, February 8, 2008.

Bid Proposal Security

■ *Requirement 4.2.18 – Bid Proposal Security. The bidder shall submit a bid bond, a certified or cashier's check, or an irrevocable letter of credit in favor or made payable to the Department in the amount of \$500,000.00. This shall guarantee the availability of the services as provided in the preceding subsection. If the bidder elects to use a bond, a surety licensed to do business in Iowa must issue the bond on a form acceptable to the Department. The bid proposal security shall be forfeited if the bidder chosen to receive the Contract withdraws its bid proposal after the Department issues a Notice of Intent to Award, does not honor the terms offered in its bid proposal, or does not negotiate Contract terms in good faith. Security submitted by bidders will be returned when the bid proposals expire, are rejected, or the Department enters into a Contract with the successful bidder, whichever is earliest.* ■

Noridian submits a bid bond, issued by a surety licensed to do business in Iowa, in the amount of \$500,000.00. The bid bond is submitted directly following this page.





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